



OVERSEAS MERCHANDISE INSPECTION CO., LTD.	Doc. No.	OC(E)4-09
Regulation on Management of Complaints and Appeals	Edition No.	4
	Issue Date	2018.10.01
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	Prepared by	Approved by
		

1. General

1.1 Purpose

The purpose of this regulation is to ensure proper management of complaints and appeal stipulated in “OMIC Regulations on Certification Work” prepared to comply with the relevant laws and regulations for the domestic and foreign organic certification schemes.

1.2 Basic Policy

Complaints and claims (hereinafter referred to as “complaints”.) from applicants of certification, certified operations or the third parties concerned on the organic certification services must be responded without delay. Such information is reported to the president accordingly.

Further, when the necessity of amendment of the organic certification management system of OMIC is identified through the process of the complaints from the third parties including applicants of certification and certified operations, it is treated pursuant to OC(E)4-08 “Regulation on Management of Inconformity”.

1.3 Scope of Application

Management Authority (President and Organic Certification Management Representative [hereinafter referred to as “OCMR”.]), Organic Certification Dept. (hereinafter referred to as “OCD”) and Judgment Committee.

1.4 Responsibility

- (1) OCMR has the responsibility to ensure the observance of this procedure.
- (2) OCD plays the role of the information desk for complaints.
- (3) The manager of the unit, which involved in the occurrence of the complaints has the responsibility to cooperate for the treatment of the complaints.

2. Procedure for Management of Complaints

- (1) Anyone of OMIC received a complaint from an applicant of certification, certified operation or third party through a document, telephone, facsimile or e-mail must transfer it to OCD without fail;
- (2) The General Manager of OCD or his/her designated person verifies the complaint and prepares a OC(F)3-12 “Complaint Record/Correction & Prevention Action Record (T85)” (hereinafter referred to as “complaint record”.), if the case is found to be caused due to OMIC’s certification work, and notifies the complainant that the case is received as complaint.
- (3) The General Manager of OCD verifies the content in the complaint record and executes

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the required treatment by nominating a person in charge. Before nominating the person in charge, it shall be confirmed that the nominated person does not have any conflict of interest with the complainant;

- (4) The person in charge investigates the cause and fills in suggested treatment in the complaint record to report it to the General Manager of OCD;
- (5) The General Manager of OCD reviews the suggested treatment and requests the approval of OCMR. OCMR reports the case to the president and obtains his/her approval as appropriate;
- (6) The General Manager of OCD or his/her designated person contacts the complainant upon approval by OCMR and explains the situation paying a visit to the complainant together with OCMR or the manager of the concerned unit as appropriate. Apologies or compensations may be offered depending on the degree of the fault of OMIC;
- (7) When the necessity of amendment of the organic certification management system of OMIC is identified through the process of the complaints, the manager of the concerned unit performs the amendment pursuant to OC(E)4-08 "Regulation on Management of inconformity" and closes the complaint record. The copies of the complaint record are sent to the president, OCMR and General Manager of OCD;
- (8) The General Manager of OCD shall give formal notice of outcome and the end of complains process to complainant or appellant.
- (9) OCD shall take any subsequent action needed (such as mediation, etc.) to resolve the complaints.
- (10) The information on complaints is reported in "Monthly business Report" of OMIC and is distributed to all the OMIC managerial staff including the president by e-mail to share the information.

3. Maintenance and Management of Record

The leader of the concerned unit maintains and manages the complaint documents and other related information received pursuant to the provision of 2(1) above as well as the original complaint record treated according to the provisions 2(2)-2(7) above pursuant to OC(E)4-06 "Procedure for Management and Maintenance of Documents". Further, the manager summarizes the treatment of the particular complaints for the input information stipulated in OC(F)3-01 "Management Review Plan for Organic Certification".

4. Compensation

OMIC maintains professional indemnity insurance policy to cover claim compensation.