




# TASNEEF-RINA Business Assurance LLC

## TREATMENT OF COMPLAINTS


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OFFICIAL


 <p>تصنيف ريبا لضمان الأعمال TASNEEF-RINA Business Assurance</p>	MANAGEMENT SYSTEM	Effectivity Date: 10 March 2023
		Revision no. 05
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## 0.1 APPROVALS

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Process
Certification Management System

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## 0.2 REVISION HISTORY

Revision No.	Date	Author	Main changes
00	15 January 2018	Irene Borlongan-Caisip	First issue
01	15 January 2019	Yasir Ali	Addition of Halal Complaint Review Committee
02	01 August 2021	Irene Borlongan-Caisip	Additional information added in 1. Purpose
03	20 December 2021	Yasir Ali	Addition of ISO 17065:2012 requirements
04	25 October 2022	Irene Borlongan-Caisip	Change of title from SVP-Technical to Director, General Technical & Compliance
05	10 March 2023	Yasir Ali	Addition of Clause 5.5.7 for communication with MOIAT/EIAC

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## 1. PURPOSE

This document defines procedure through which TRBA ensure the receipt, validation, investigation and treatment of complaints addressed to it.

This document shall always be aligned to RINA Policies relevant to the status of the certification body, Shareholders' Partnership Agreement, Memorandum of Association. In particular TRBA will perform only the scope identified in the Shareholders' Partnership Agreement and Memorandum of Association, without consulting that is affecting the status of the certification body. When conflicting, the correspondent RINA rule shall prevail. Impartiality according to RINA rules and other relevant documents, will always be considered as a main reference in every requirement of TRBA policies.

## 2. SCOPE

The procedure shall be applied by the designated staff of the TRBA to treat complaints.

## 3. DEFINITIONS AND ABBREVIATIONS

### 3.1 Definitions

Complaint - that requires something or bring charges to someone.

-Complaint from an organization or a natural person regarding the process of certification, functioning of TRBA or companies with management systems certified by TRBA.

### 3.2 Abbreviations

TRBA- TASNEEF-RINA Business Assurance LLC

## 4. NORMATIVE REFERENCES

ISO/IEC 17021-1:2015 - Conformity assessment - Requirements for bodies providing audit and certification of management systems.


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

## 5. PROCEDURE

### 5.1. Overview

5.1.1 The TRBA procedure in the field of complaint treatment is based on the following essential principles:

- Impartial and confidential treatment of complaints;
- Right and free access of all entities to address complaints;
- Strict separation of complaints treatment levels;

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- Compliance with the legal provisions on timely resolution of complaints;
- Enterprise of corrective and preventive actions necessary for their proper resolution;
- Evidence, access and retention of all complaints records, as well as the corrective actions that have been imposed.

5.1.2 Complaints can be made by:

- a) economic agents in contractual relations with TRBA regarding the certification/supervision/recertification of management system (Applicant/Certified clients) during the performance of the audit activity, against the practices exercised by the members of the audit, as well as during the performance of the contractual relationship, regarding compliance with the clauses established by contract;
- b) third party organizations/individuals related to organizations with TRBA certified management systems (it will consider the effectiveness of the certificate management system).

5.1.3 Certification by TRBA of the management system implemented by an organization does not include certification of installations or conformity of products/services made/supplied by that organization. TRBA assumes no responsibility to produce damages or accidents in the malfunctioning or faulty operation of processes and installations within organizations with certified management system, nor for products/services with defects. As a result, claims in these categories do not fall within the scope of TRBA as the certification body of management systems, they must be addressed to the supplier of products/services or to bodies with responsibilities in the field.

## **5.2. Claims of economic agents in contractual relations with TRBA on certification/supervision/recertification of management system**

5.2.1 Economic agents may make claims against the activity of TRBA staff in the process of auditing and certification of management systems.

5.2.2 The complaint may be made to be audited against the practices exercised by the audit team, on the behavior and objectivity of the findings during the audit, respectively for those nonconformities that have been presented by the Lead auditor at the audit closing session (certification/supervision/recertification) and on which the agreement was not agreed.


5.2.3 The problems/differences of opinion raised at the closing session and which were not resolved/agreed between the audit team and the representatives of the audited organization will be recorded in the minutes of the closing session.

5.2.4 Nonconformities can be made for nonconformities reports that have not been contested at the audit closing session.

5.2.5 Complaints are received at the TRBA headquarters, in the written form (letter, by fax or e-mail), within 5 working days from the date of the activity/finding of the situation/communication of the decision which is the subject of the complaint and must be accompanied by documented evidence.

5.2.6 No complaints can be made when the time limits stipulated in the TRBA notices are exceeded.

## **5.3. Claims of third party organizations/individuals related to organizations with TRBA certified management systems**

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5.3.1 Any organization or individual may make claims against the activity of economic agents with TRBA certification management systems.

5.3.2 Complaints are received at TRBA headquarters, in written form (letter, fax or e-mail) or by telephone and must be substantiated and/or accompanied by documented evidence.

#### 5.4. Registration of the complaint

5.4.1 The affected customer/organization can submit either a complaint or appeal or review by filling a form to the Technical Director at TRBA via email to [ba.bd@tasneef.ae](mailto:ba.bd@tasneef.ae); the form can either be downloaded from TRBA's website, or to be requested through the above email or immediately handed by TRBA.

5.4.2 The TRBA secretariat shall receive the complaint and verify its content to ascertain whether the following information is contained:

- Identification of the complainant (name, address, telephone number);
- Identify the advertised organization (name, address);
- Registration of documents by the applicant organization or specifying the date of drawing/submission of the complaint;
- Identification of the applicant's legal representative.

5.4.3 If the TRBA secretariat ascertains the lack of some of these data, request their completion by the complainant.

5.4.4 The claim completed from the point of view of the previously specified information is registered by the TRBA secretariat in the Register for complaints, giving a registration number and communicating to the complainant the receipt and Registration.

#### 5.5. Analysis of complaints, adoption and communication judgment


5.5.1 Claims shall be resolved within the framework of the TRBA by the Committee for the analysis of complaints, which shall operate in accordance with the provisions of this procedure.

5.5.2 TRBA solve the claims within 30 days of receiving and registering them and communicate in writing to the plaintiff the Committee's decision to review complaints. In special situations, at the request of the designated Committee, the term of settlement may be extended, the situation being communicated to the complainant.

5.5.3 To clarify the situation regarding the merits of the complaint, the Committee designated for the analysis of the complaint may have a discussion with those involved (the applicant/Certified client), which shall be recorded in the minutes of the complaint and appeals analysis.

5.5.4 In the analysis, the rights which the complainant considers to be infringed and the applicant's claims, as well as the documents attached to the complaint, shall be verified to support it. Following the analysis, the following decisions may be taken:

- The complaint is accepted and appropriate corrective measures shall be taken to resolve the object of the complaint as follows:
- For the situations at 5.2, administrative measures shall be established, the result of which is to increase performances at an acceptable level for the elimination of non-compliant performance;

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- For the situations at 5.3, special audits which will determine their merits, and measures which may lead to decisions to suspend, withdraw or reduction the scope of certification, may be carried out.
- The complaint is rejected (if it is considered groundless) and communicates to the complainant and to the clients certified by the TRBA decision.

5.5.5 The complainant shall be notified of how to resolve the complaint by an address signed by the General Manager.

5.5.6 In the situation in which the complainant considers that the claim has not been resolved in a manner that satisfies him, he may appeal according to the "Treatment of appeals" procedure, code: TRBA-SP-04-00-2018.

5.5.7 Received complaints, appeals and other disputes along with judgement are communicated with MOIAT / EIAC (depending on its nature) without any undue delays.

## 5.6 Terms and Conditions of Complaints Committee:

5.6.1 Every member should be present in the committee gathering. This will constitute the quorum for Complaints Committee meetings (i.e. 3 personnel out of 3 (For all scopes including HALAL).

5.6.2 Certification knowledge is defined as 1 year of experience in Certification.

5.6.3 Any member involved in the certification decision will be excluded from the Complaints Committee in order to avoid any conflict of interest. His delegate will be replacing him in attending the committee and participating in the decision.

5.6.4 At the discretion of the staff member responsible for certification decision or evaluation decision in front of the Complaints committee, the case should be presented to the Complaints Committee either by the responsible certification analyst of the case or the certifier him/herself.

5.6.5 In case a Complaints Committee member opts to resign from the Complaints Committee or otherwise ceases to be a member, the Director - Technical will nominate a replacement according to the above listed criteria to the General Manager, who decides on the assignment of the new committee member.

5.6.6 During a Complaint, only information which existed and was presented at the time the decision was made will be considered.

5.6.7 Additional credible information presented and accepted during a Complaint, which was not present at the time the original decision was taken and could have led to a different outcome in the original decision, will result in a recommendation to the Director - Technical to re-open the case and take into consideration the new information for a decision (within the time frame mentioned above for accepting an Complaint/appeal).


5.6.8 Halal Islamic affairs expert involved in the Complaint should not be in any way involved in the audit process, evaluation or certification decision

## 6. RESPONSIBILITIES

### 6.1 General Manager

- Request, if necessary, obtaining additional information;
- Submit the complaint to the staff who will perform the complaint analyze;



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-Sign the reply letter sent to the plaintiff.

### 6.2. Complaints review committee

The complaints review Committee will be composed of members appointed by the General manager of the punctuality for each complaint. They must not have been involved in relationships with the client so that they cannot be blamed for impartiality.

The complaints review committee can be composed of only one member.

Request, if necessary, obtaining additional information;

Submit to the General Manager the letter of reply to the complainant.

### 6.3. Halal complaints review committee

-Halal complaints review committee will be composed of members appointed by the General manager, at least it may include following staff members: General Manager, Director - Technical, Halal scheme leader, Halal Islamic Affairs Expert, Technical Auditor (Note: only that auditor/ Halal Islamic affairs expert who has not participated in audit activity)

-Review complaint relating to Halal certification.

-Request, if necessary, obtaining additional information;

-Submit to the General Manager the letter of reply to the complainant

### 6.4. Technical and Operational directorate Director

-Ensure, upon request, the necessary information for the evaluation activities carried out by the TRBA necessary to resolve complaints;

-ensure, on request, an unscheduled audit for verifying the claims made by third party organizations/individuals related to companies with TRBA certified management systems.

### 6.4. Regulatory Coordinator Affairs

-Register the complaint in the Register of complaints and appeals, and confirm to the plaintiff the receipt and registration of the complaint;

-Make available to the committee review complaints the necessary work documents, such as: The certification dossier of the trader, the procedures of the TRBA Management system and the necessary work forms, etc.;

-Ensure at the request of the complainant all information relating to the status of complaint treatment;

-Ensure registration, multiplication and transmission to the complainant of the letter with the Committee's decision to review TRBA complaints;

-Retrieves the documents resulting from a committee work session of complaints analysis, registers them and put them in the file of complaints analysis committee.

-The documents used in the complaint treatment process are permanent recordings.

## 7. ANNEXES - FORMS

7.1. Annex 1 – Minutes of complaint and appeals analysis; code TRBA-SP-03-F-01-XX-XXXX

7.2. Annex 2 – Register of complaint and appeals; code TRBA-SP-03-F-02-XX-XXXX