

**FSC® , PEFC , RSB and ISCC
COMMENTS AND FORMAL
COMPLAINTS**

Ver. 16 November 2012

1 GENERAL

PEFC Disputes

The general procedure shall be used with the following exception: complaints and disputes involving PEFC requirements and performance by certificate bodies and certificate holders has to be solved by the national PEFC organization if they cannot be solved among the parties involved.

FSC[®], RSB and ISCC

FSC, RSB and ISCC Complaint policy

We care about customers and stakeholders, and commit ourselves to deliver in accordance with customers' and stakeholders' expectations. We always conduct all our business with uncompromising integrity and professionalism.

We will:

- Collect, assess, and analyze customers' and stakeholders' feedback, to learn and ensure that our performance meets needs and expectations.
- Handle any complaint in an effective and efficient way.
- Communicate promptly and clearly with any complainant.

REFERENCES:

1. BAM-6-i3 Customer complaints
2. FSC-STD-20-001, FSC-STD-20-007, FSC-PRO-01-005, FSCPRO-01-008 and FSC-PRO-01-009.
2. RSB-STD-65-001
3. ISCC 253 Complaints, Appeals and Arbitration

2 PROCESS CRITERIA

2.1 Initial handling of comments/disputes

Follows main procedure.

2.2 Handling of complaints and appeals

Responsibility to handle complaints/claims on commercial issues or on performance of auditors is on the DNV GL Certification unit.

All other complaints from third party or stakeholders shall be handled by the accredited unit. In all complaint handling both the accredited unit and the local unit shall keep each other informed of status, progress, corrective actions and decisions. All appeals (dispute on the outcome of complaint/claim) shall be handled by the accredited unit.

The members of the complaint and appeal board shall be within the certification body's contractual (e.g. employee) or organizational control (e.g. committee). Additionally the members shall be independent of:

1. the certification evaluation;
2. certification decision; and
3. the day to day implementation of the policies of the certification body.

Responsible for handling complaints and appeals is the quality manager and in more difficult cases also country manager and BA manager.

DNV GL shall seek a timely resolution of disputes, grievances, complaints or appeals made against the certification body.

DNV GL has published summary information about the procedures for submitting complaints, appeals and disputes, and the procedures for handling such complaints, appeals and disputes on the website and also send this information in print on request. This information is publicly available in English on the global website. If needed, each country with FSC customers, shall publish these procedures in their own language on the regional webpage.

For the FSC FM accreditation for Sweden and for RSB accreditation, see local procedure in Sweden. For description for FSC FM see also a description in Swedish in the local DNV GL website.

3 PROCEDURE

Complaints and appeals are registered at both the local and the accredited unit. An initial response sent from the Accredited unit, including an outline of the proposed course of action to follow up on the complaint

or appeal, is sent to the complainant within two (2) weeks of receiving the complaint or appeal.

DNV GL shall keep the complainant(s) informed of progress in evaluating the complaint/appeal, and shall have investigated the allegations and specified all its proposed actions in response to the complaint or appeal within three (3) months of receiving the complaint or appeal.

Full implementation of actions and confirmation of implementation (e.g. correction and closing out of non compliances that may have been identified as a result of the complaint or appeal) shall be completed in compliance with the requirements specified in ICP-3-5-i13-FSC/PEFC COC-i1

A party making a complaint shall be offered the opportunity to refer their complaint to FSC's dispute resolution process if the issue has not been resolved through the full implementation of the DNV GL procedures. See FSC-PRO-01-005, FSC-PRO-01-008 and FSC-PRO-01-009.

Complaints/ allegations of misuse of the FSC and/or PEFC logo shall be handled without delay. The certificate holder shall be contacted and verifies for purchase and sales shall be sent to DNV GL within two (2) weeks of receiving a complaint/ allegation and a notification shall be sent to DNV GL Sweden for notification to FSC Trademark Unit. If the matter cannot be solved through desk audit, a short-notice audit shall be performed as soon as possible.

For certificates that are withdrawn as a consequence of misuse of the FSC logo, the case is handled over to FSC Trademark unit.

ISCC

Conflicts in ISCC, resulting from the relation between DNV GL and the participants of the system (e.g., appeal against refusal of certification), shall be resolved by the arbitration board of ISCC.

The Arbitration Board is responsible for the management of the procedure. The Arbitration Board is implemented by the ISCC Board and is formed by three persons.

The members of the Arbitration Board shall have no vested, or conflict of interest in the appeal and shall not be involved in the appealed decision if they are in conflict of the complaint or appeal. They are implemented by the ISCC Board. The different parties shall be considered each with one person. The three members represent the same three stakeholder groups which constitute the board. The presidency shall be elected again for each submitted complaint, and chosen amongst the individuals generating the arbitration board. The convening of the

Arbitration Board is made within two months after receipt of the complaint or appeal, either within a regular meeting of the Board or in written form.

The arbitration boards shall hear the parties involved before making a decision. The results of the hearing are documented. The decision of the Arbitration Board shall be made within 6 months after receipt of the complaint. The decision of the Arbitration Board needs simple majority.

Minutes of the meetings shall be made by the Arbitration Board.

The decision of the arbitration is documented in a report that shall be submitted to the ISCC Board. The report shall include recommendations concerning the further proceeding of the complaint or appeal. Based on the report of the Arbitration Board, the ISCC Board decides on acceptance of the complaint or appeal.

The ISCC management submits the results of the arbitration to the involved parties.

The decision is binding and completes the arbitration process of ISCC. Certificates stay valid until the decision of the arbitration board is made.

How to send us your complaint

Please, send your complaint by e- mail to

fsccomplaints@dnvgl.com or to our postal address:

DNV GL Business Assurance Sweden AB
Att : FSC Complaints
Box 6046 171 06 Solna
Sweden

Please, include

- Name of the person filing the complaint
- Company name (if relevant)
- Post address and/or e-mail address
- Reference to service, office, area etc.
- The reason for the complaint

For more information, please, contact

DNV GL Business Assurance Sweden AB
(FSC® A000509)
P O Box 6046
SE - 171 06 Solna, Sweden

Phone: +46 8 587 940 00
Fax: +46 8 651 70 43
E-mail: fscapproval@dnvgl.com

www.dnvgl.se/certifying