

1 TERMS AND DEFINITIONS

In this procedure, the terms and definitions given in FSC-STD-01-002 FSC Glossary of terms, ISO / IEC 17000: 2004, and the following apply:

Appeal: Request from a client to FCBA, as OC FSC, to reconsider a decision he made regarding this client.

Certification: third party certification related to products, processes, systems or people.

Certification Decision: granting, maintenance, renewal, extension of the scope, which reduces the scope, suspension, reinstatement, or withdrawal of certification.

Customer: term used in this procedure synonymous with "supplier", as used in ISO / IEC Guide 65. In this procedure, it refers to candidates for FSC certification and holders of FSC certificates.

Complaint: expression of dissatisfaction, other than appealing, by any person or organization to FCBA, relating to the activities of this organization, where a response is expected.

Note: FCBA refrains from intervening in the context of a claim in all cases where one of the parties (the holder or his client) has brought legal action.

He can then only intervene in the context of a judicial expertise at the request of the Tribunal.

Days: the time periods mentioned in this procedure in days refer to calendar days, unless otherwise indicated.

FSC: if used in this procedure, without other designation as "IC" or "GD", it is used as a general term referring to all operational entities under the control of the Forest Stewardship Council®, including ASI (Assurance Services International), responsible for managing the FSC accreditation program.

FSC Rules and Regulations: FSC Principles and Criteria, FSC Procedures, FSC Policies, FSC Certification Standards, FSC Trademark Requirements, FSC Dispute Resolution, Orientation (Guidance), Guidelines and Advice Notes and any other FSC documentation.

DQC (Quality and Certification Department): Entity of the FCBA, which takes the allocation decisions (granting, maintenance, extension, suspension or withdrawal) of certificates.

Conflict: Any dispute, disagreement, claim, complaint or dispute concerning the services provided - including the allocation of certificates - for which FCBA is seized by its customers or any other party.

Litigation: Term used as a generic term for:

- a conflict (dispute, disagreement, complaint, complaint or contestation) originating from a candidate, a certified body or FCBA interested in certification; or
- a denunciation concerning a non-compliance with the requirements of the reference system used; or
- an infringement of the rules of use of the FSC mark detected independently of an audit; of which FCBA may be aware.

Applicant: Person or organization (company, association, group, etc.) who has expressed a request for information and / or certification to FCBA and who has not received a certificate.

2 PURPOSE OF THE PROCEDURE

The purpose of this procedure is to describe the method for resolving conflicts, following an appeal or a complaint concerning FSC certification.

This resolution must allow, as far as possible, to find an amicable resolution of the conflicts.

3 RESOLUTION TIME

FCBA must provide a first response including a proposal for conflict resolution within two (2) weeks after receipt of the complaint.

FCBA must keep the complainant (s) informed on the progress of the evaluation of the complaint and must have evaluated the allegations and specified all the actions proposed in response to the complaint within three (3) months after receipt of the complaint.

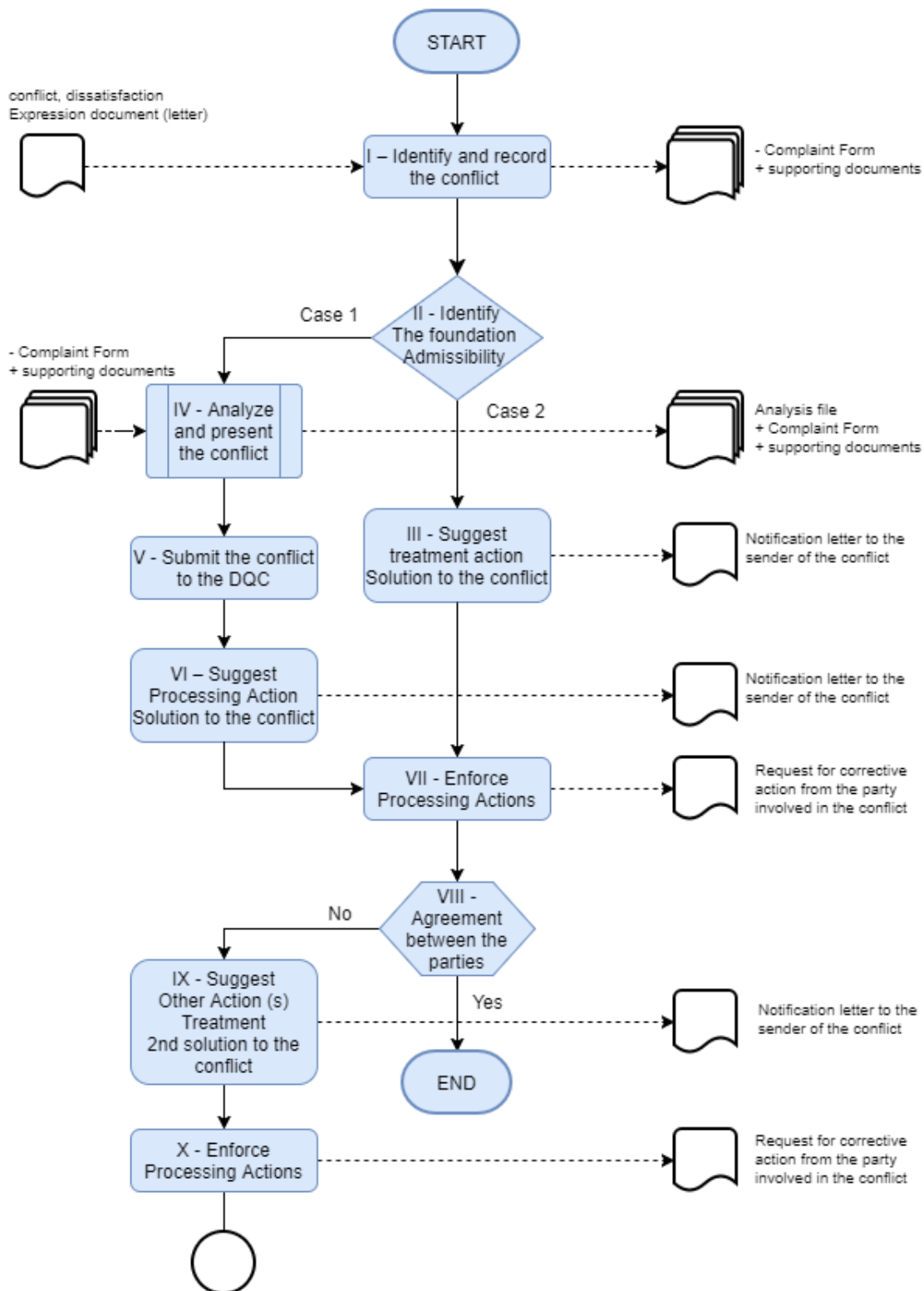
4 AREA OF APPLICATION

This procedure applies to conflicts between FCBA and an applicant, a certified body or any party with an interest in FSC certification.

5 RELATED DOCUMENTS

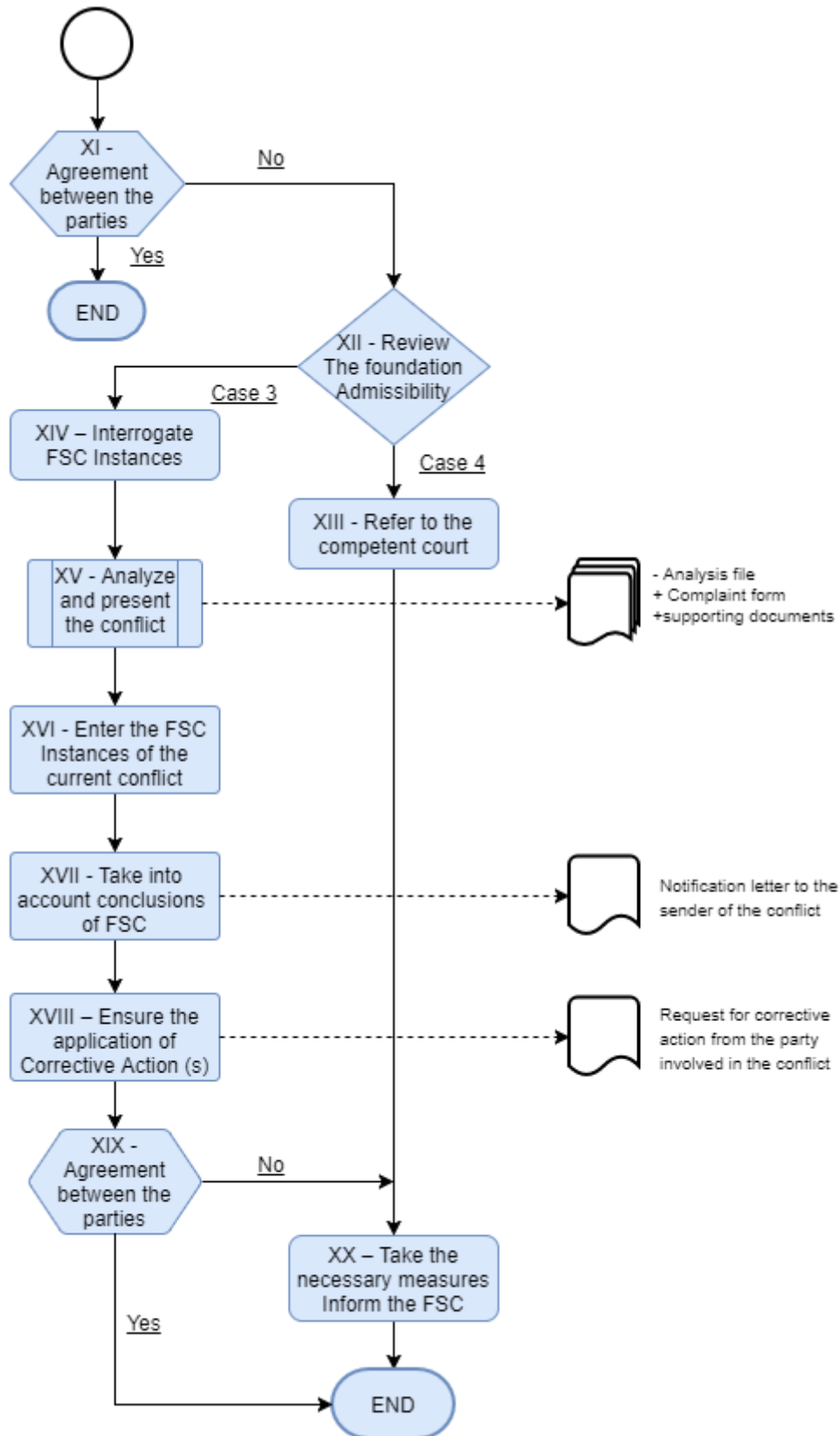
Complaint form (Ref: DOC 2629)

6 PROCESS



Case 1: conflict concerning a practice of a FSC CoC certified company against FSC requirements or an award decision by the Certification Department.

Case 2 : other conflict



Case 3: conflict concerning use of the FSC mark or case 1 not resolved **Case 2:** conflict of a commercial nature (non-compliance with contract clauses other than those concerning cases 1 and 3)

7 TABLES OF ACTIONS AND RESPONSIBILITIES

Operations	Responsibilities	Tasks	Comments
I – Identify and record the conflict	Product / Program Manager	<ul style="list-style-type: none"> - Obtain a writing from the initiator of the conflict if it is oral information, the document received must state the reasons for the conflict and the elements on which these reasons are based. - Open a Complaint Form. 	The conflict may be real or potential, it is the Product / Program Manager who must judge whether the information received is the subject of a conflict.
II - Identify The foundation Admissibility	Product / Program Manager	<ul style="list-style-type: none"> - Analyze of the first elements provided. - Contact the initiator of the conflict to provide the necessary details. - Obtain supporting documentation <p><u>Note :</u></p> <ul style="list-style-type: none"> - in the case of an applicant or a certified company that disputes the work or the conclusions of the auditors, the latter must report the conflict within 21 days of the communication of the audit report (steps V, IX, XIV and XVII of the certification process); - in the case of an applicant or a certified company contesting a decision of the DQC, he must report the conflict within 15 days of notification of the decision of the DQC (step XII the certification process); - in the case of a third party who questions the practices of a certified company, he must report the conflict within 90 days of the questioned practice. <p>After these periods, complaints are not admissible.</p>	<p>This step should make it possible to know whether the conflict can be resolved with or without the intervention of the Quality Certification Department. This choice depends on the nature of the conflict:</p> <ul style="list-style-type: none"> - Case 1: the conflict is linked to the practice of a certified company against the requirements of the standards used or linked to an award decision by the Quality Certification Department. It cannot be resolved without obtaining the advice and agreement of the Quality Certification Department; or - Case 2: conflict concerning something else. It can be resolved without the advice and consent of the DQC.
		<ul style="list-style-type: none"> - Confirm or deny the validity of the conflict with its initiator. - Complete the Complaint Form. - If necessary, suspend or withdraw the certificate from the certified company in question. 	

Procedure for handling FSC® appeals and complaints

III - Suggest treatment action Solution to the conflict	Product / Program Manager / Certification team manager	<ul style="list-style-type: none"> - Define a solution, based on the conclusions drawn in stages I and II, to resolve the conflict. - Notify the initiator of the conflict of the previously established solution and any measures to be taken to respond to the problem (s) found, in order to ensure its treatment. 	These elements are provided in the Complaint Form.
IV - Analyze and present the conflict	Product / Program Manager	<ul style="list-style-type: none"> - Produce a conflict management file based on the conclusions of stages I and II. - Send a copy of this file to the applicant or certified organization in question in the conflict. - Submit the examination of this file to the Quality Certification Department. 	The conflict management file includes the elements of the Complaint Form and mentions proposals for resolving the conflict. It provides the documents established at the stage I.
V - Submit the conflict to the DQC	Product / Program Manager	<p>Note: This step must be completed no earlier than 15 days after the previous step.</p> <ul style="list-style-type: none"> - Define, with the DQC, a solution to propose to the initiator of the conflict. 	This period is necessary so that the applicant or certified organization has time to comment on the report sent in the previous step. Carry out a consultation in the presence of the Product / Program Manager, with the DQC and the REC.
VI – Suggest Processing Action Solution to the conflict	Product / Program Manager / Certification team manager	<ul style="list-style-type: none"> - Inform the initiator of the conflict of the solution established in previous step to gather his opinion and discuss any measures to be taken. - Notify the initiator of the conflict of the solution established in the previous step and the possible measures to be taken to respond to the problem (s) found. 	This information can be communicated by telephone.
VII - Enforce Processing Actions	Product / Program Manager	<ul style="list-style-type: none"> - If the conclusions issued in step III or VI so provide, formulate to the applicant or the certified company a request for corrective action (s) with time for implementation. - Send a copy of this request to the initiator of the conflict. 	
VIII - Agreement between the parties	Product / Program Manager	<p>Note: This step must be carried out 15 days at the latest after the previous step.</p> <ul style="list-style-type: none"> - Check with the initiator of the conflict and related parties that the explanations provided and / or the measures taken put an end to the pre-existing conflict. 	

Procedure for handling FSC® appeals and complaints

IX - Suggest Other Action (s) Treatment 2nd solution to the conflict	Product / Program Manager / Certification team manager	<ul style="list-style-type: none"> - Carry out consultation, with the various parties involved, to understand the reasons for the non-resolution noted in step VIII. - Seek, with the various parties involved, a new solution to the conflict. - Inform, via a new contact (Certification team Manager), the initiator of the conflict of this new solution to collect his opinion and discuss any measures to be taken. - Notify the initiator of the conflict of the second solution and the possible measures to be taken to respond to the problem (s) found. 	It is useful that the interlocutor who seeks to resolve the conflict can change to avoid any human problem in the management of the conflict.
X - Enforce Processing Actions	Product / Program Manager	<ul style="list-style-type: none"> - If the conclusions issued in step IX so provide, formulate to the applicant or the certified company a request for corrective action (s) with time for implementation - Send a copy of this request to the initiator of the conflict. 	
XI - Agreement between the parties	Product / Program Manager	<p>Note: This step must be carried out 15 days at the latest after the previous step.</p> <ul style="list-style-type: none"> - Check with the initiator of the conflict and related parties that the explanations provided and / or the measures taken put an end to the pre-existing conflict 	
XII - Review The foundation Admissibility	Product / Program Manager	<ul style="list-style-type: none"> - Analyze, following the conclusions of stages II and III or VI, the basis of the conflict. - Re-contact, if necessary, the initiator of the conflict so that he provides the necessary details. * - Re-contact, if necessary and if they exist, the stakeholders identified for the certification in question. - Complete the Complaint Form. - If necessary, suspend or withdraw the certificate from the certified company in question. 	<p>This step should make it possible to know if:</p> <ul style="list-style-type: none"> - Case 3: the conflict is related to the use of the FSC mark or if it corresponds to a case 1 (practice of a certified body against the requirements of the standards used or a decision to award the DQC) could not be resolved in the previous steps; or - Case 4: the conflict is "commercial", that is to say linked to the quality of the services provided by FCBA: deadlines, prices, confidentiality, independence, etc.

Procedure for handling FSC® appeals and complaints

XIII - Refer to the competent court	Certification team manager	<ul style="list-style-type: none"> - Refer, in the absence of conciliation of the parties, by registered letter with acknowledgment of receipt, to the court competent to judge the case 	The competent court concerning conflicts with applicants or certified companies is provided for in the various audit or certification contracts, it is the Commercial Court of Paris (France).
XIV – Interrogate FSC Instances	Product / Program Manager	<ul style="list-style-type: none"> - Interrogate the FSC Instances to be sure that the type of conflict, identified in stages II and XII, corresponds to a conflict that the FSC is able to resolve. 	
XV - Analyze and present the conflict	Product / Program Manager	<ul style="list-style-type: none"> - Note: This step is carried out only if it has not already been done in step IV. - Produce a conflict management file based on the conclusions of stages I, II, III or VI, IX and XII. 	The conflict management file includes the elements of the Complaint Form, the various proposals for conflict resolution already formulated and mentions proposals for conflict resolution. It also provides the documents established in step I.
XVI - Enter the FSC Instances of the current conflict	Product / Program Manager	<ul style="list-style-type: none"> - Inform the FSC Instances of the non-resolution of the conflict and of the identity of the complainant (s). - Send a copy of the file, produced in the previous step, to the FSC and to the applicant or certified company in question in the dispute. 	
XVII - Take into account conclusions of FSC	Product / Program Manager	<ul style="list-style-type: none"> - Implement, if necessary, the FSC conclusions. - Notify the initiator of the conflict of the solution established by the FSC and the possible measures to be taken to respond to the problem (s) found. 	The conclusions of the FSC are normally communicated to the initiator of the conflict and provide for possible measures to be taken.
XVIII – Ensure the application of Corrective Action (s)	Product / Program Manager	<ul style="list-style-type: none"> - If the conclusions of the FSC so provide, formulate to the applicant or to the certified company a request for corrective action (s) with time for implementation. - Send a copy of this request to the initiator of the conflict. 	
XIX - Agreement between the parties	Product / Program Manager	<p>Note: This stage must be carried out 15 days at the latest after the previous stage.</p> <ul style="list-style-type: none"> - Check with the initiator of the conflict and related parties that the explanations provided and / or the measures taken put an end to the pre-existing conflict 	

Procedure for handling FSC® appeals and complaints

XX – Take the necessary measures Inform the FSC	Product / Program Manager	<ul style="list-style-type: none">- Take the necessary measures (suspension or withdrawal of the certificate, breach of the certification contract, etc.).- Inform the FSC of the failure to resolve the conflict or the conclusion of the Commercial Court.	The measures to be taken depend on: <ul style="list-style-type: none">- the response of the initiator of the conflict to the solution established by the FSC; or- the conclusion of the Commercial Court.
--	---------------------------	---	--