

# ANNEX 16

## CU Inspection Regulation

This Regulation applies to all programs where reference is made to this Regulation in the contract, but at least for the following:

- Organic Production
  - EU, USDA, JAS, NPOP, Reglamento de la Normativa de la Producción Orgánica Agropecuaria, Organic Korea FIPA Food Industry Promotion Act, Organic Equivalence (Peru)
  - Input
- Textile Certification
  - Global Organic Textile Standards
  - Organic Exchange Blended and OE100
- Global Recycle Standard (GRS)
- GlobalG.A.P.
- TESCO Nurture
- Leaf-marque
- UTZ CERTIFIED
- Forest Stewardship Council (FSC)
  - Forest management
  - Chain of Custody
- PEFC
- Food Safety Programs
  - HACCP
  - BRC
  - ISO 22000
  - FSSC 22000
- GMP+ Feed Safety Assurance (GMP+ FSA)
- Green Gold Label (GGL/CRM)
- ISO 9001:2008
- Inspection programs<sup>1</sup>

<sup>1</sup>Only Paragraph 3 of Chapter 1 applies for these inspection programs

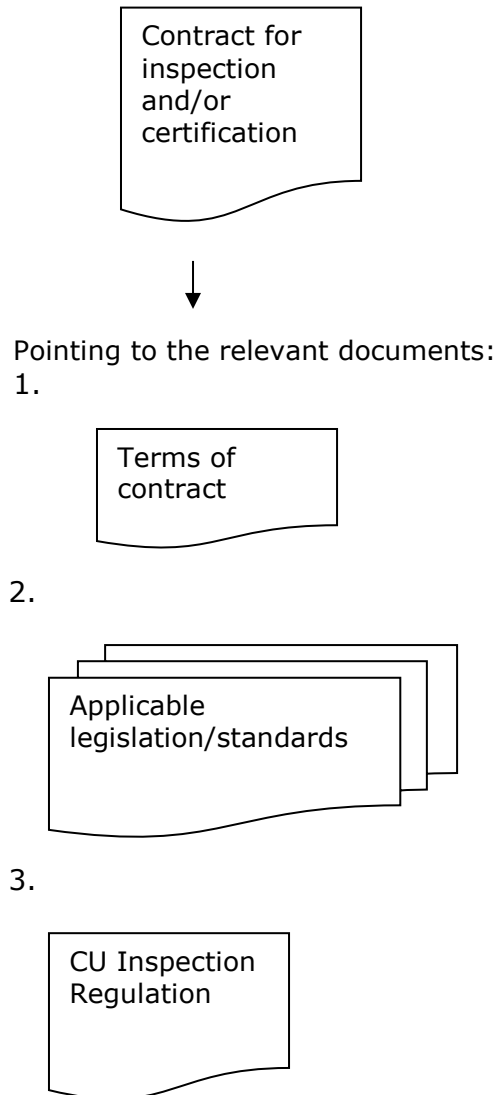
Control Union Certifications  
P.O. Box 161  
8000 AD Zwolle  
The Netherlands

This Regulation is available on the CU Website (<http://certification.controlunion.com> - under legislation).  
CU has written this Regulation and reserves all copyrights concerning this Regulation and related documents.  
No parts of this publication may be reproduced or made public by means of print, photocopy, microfilm, or in any way without written consent of the publisher.

# CU Inspection Regulation

## Introduction and Scope

*This Inspection Regulation contains regulation regarding the policy of Control Union Certifications (CU) on inspection and certification. It mentions what your rights and obligations are, as well as those of CU. It also mentions additional rules for specific programs. It contains contract related regulation as well. In this sense the Inspection Regulation is complementary to the applicable standards, the offer letter, as well as the Terms of Contract. Please refer to the structure diagram below.*



**The Inspection Regulation consists of several chapters. Chapter 1 contains general rules that are applicable for all clients concerned and contains the following paragraphs:**

- 1.1 Applicability
- 1.2 Definitions
- 1.3 Inspection
- 1.4 Inspection report
- 1.5 Certification
- 1.6 Certificates
- 1.7 Use of indications and symbols
- 1.8 Appeals and complaints
- 1.9 Final provisions
- 1.10 Policy of taking over projects certified by other certification bodies.

The other chapters contain rules specified for individual certification programs. In every sentence where the singular form is in a context, the plural form should be supposed. This is also the case for male and female word expressions.

## Table of Content

Introduction and Scope .....	2
Table of Content .....	4
1 Requirements for Inspection and Certification .....	5
1.1 Applicability .....	5
Article 1 Applicability .....	5
1.2 Definitions .....	5
Article 2 Definitions .....	5
1.3 Inspection .....	10
Article 3 Conditions for inspection .....	10
Article 4 Inspector .....	10
Article 5 Inspection .....	10
Article 5a Subject of evaluation .....	10
Article 5b Method of evaluation/inspection .....	11
Article 6 Samples .....	11
Article 7 Register complaints and remedial actions .....	11
Article 8 Responsibility and Liability .....	11
1.4 Inspection report .....	11
Article 9 Inspection report .....	11
1.5 Certification .....	12
Article 10 Certification .....	12
1.6 Certificates .....	12
Article 11 Scope Certificate .....	12
Article 12 Invalidity and duplicates of Certificates .....	12
Article 13 Accreditation .....	13
1.7 Use of indications and symbols .....	13
Article 14 Use of indications and symbols .....	13
1.8 Appeals/Complaints .....	13
Article 15 Appeals/Complaints .....	13
1.9 Final provisions .....	14
Article 16 Documents and publication .....	14
Article 17 Cases not covered by this Regulation .....	14
1.10 Policy on taking over projects from other certification bodies .....	14
Article 18 Taking over projects from other certification bodies .....	14
ANNEX 1 Complaint Form .....	16
ANNEX 2 Conditions for publication and use of the Certification Logo .....	18

The following chapters are part of this inspection regulation, but are separate documents which are distributed when applicable:

Chapter 2 - Additional rules for the certification program: Organic EU Production Methods

Chapter 3 - Additional rules for the certification program: Organic Production Methods (USDA NOP)

Chapter 4 - Additional rules for the certification program: Organic JAS Production Methods

Chapter 5 - Additional rules for the certification programs: Global Organic Textile Standard (GOTS), Organic Exchange Blended and 100 standards

Chapter 6 - Additional rules for the certification program Global Recycle Standard (GRS)

Chapter 7 - Additional rules for the certification program: GLOBALG.A.P.

Chapter 8 - Additional rules for ISO9001 : 2008

Chapter 9 - Additional rules for the certification program: FSC Forestry

# 1 Requirements for Inspection and Certification

## 1.1 Applicability

### Article 1 Applicability

1. This Regulation has been adopted by the Managing Director of the private limited company Control Union Certifications (CU) on 1 August 2005, and can be referred to as **CU Inspection Regulation**.
2. The Managing Director CU has the right to change or extend this Regulation by amendments. The amendments shall be highlighted in italics.
3. The CU Inspection Regulation and the amendments shall be published within one month after the Managing Director CU has adopted them.
4. For any change or extension of this Regulation, a transition period is given. In all cases where no transition period for the individual amendment is given, a transition period of three months after the adoption will apply.
5. The CU Inspection Regulation is applicable for all programs mentioned in "Introduction and Scope".
6. In any case where conflicting rules in both the client contract and the CU Inspection Regulation are encountered, the client contract shall overrule the CU Inspection Regulation.
7. Control Union Certifications commits itself to conduct its activities impartially and in a professional manner. CU understands the importance of impartiality in carrying out its certification activities, managing conflicts of interest and ensuring the objectivity of its management system certification activities.

## 1.2 Definitions

### Article 2 Definitions

This document adopts all definitions as defined by:

- Regulation (EEC) No 834/2007 and 889/2008 and their amendments
- National Organic Program, USDA United States of America
- Japanese Agricultural Standards, MAFF Japan
- National Program Organic Production, APEDA, India
- GLOBALG.A.P. Normative documents
- Global Organic Textile Standards (GOTS, fka EKO Sustainable Textile)
- Organic Exchange Guidelines
- CU Standards for Inputs in CU Certification Programs
- CU Forestry Standards
- BRC Global Standard for Food Safety
- BRC Global Standard for Storage and Distribution
- HACCP Requirement for a HACCP based Food Safety System
- GMP+ Feed Safety Assurance (GMP+ FSA)
- CU standards for the production of wine and beverages derived therefrom
- General requirements for bodies operating product certification systems (ISO/IEC Guide 65: 1996 – EN45011)
- ISO 9001:2008, ISO 9000, ISO 19011, ISO 17021

This document uses the following additional definitions:

- Appeal *Formal notification of disagreement with a certification decision, or request by the provider of the item of inspection to the inspection body for reconsideration by that body of a decision it has made relating to that item.*

- Audit A systematic assessment to substantiate whether activities and related results comply with the planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.
- Auditor A person who carries out an audit. Auditor is responsible for the reporting to the Program Manager or Certifier.
- Certification An action by a party (in this case: the certification body, CU) to confirm there is satisfactory confidence that a sufficiently identified product, process or activity is in conformity with a standard, regulation or rule.
- Certification body A body that conducts certification of conformity.
- Certification program A system (or program) that has its own procedure and management for carrying out certification of conformity.
- Certifier A person who, under supervision of the Program Manager, is responsible for marketing of the program, instructions to the (Senior) Inspector/Auditor, certification decision, reporting to the client, issuance of certificates, customer relations and post certification activities.
- Claim: Request for Financial settlement
- Client A contract partner of CU for inspection and certification programs, with the aim of being inspected and certified.
- Client contract A written agreement between CU and the client concerning all rights and duties concerning a CU certification program. The client contract does not indicate that the client is certified.
- Client number A unique number that CU provides the client to identify himself as a CU client. The client number does not indicate that the client is certified.
- Complaint A formal expression of dissatisfaction, *by any person or organization* regarding a CUC employee's behaviour, CUC methodology, or work executed under contractual responsibility.
- CU branch office CU office that is legally entitled to represent CU.
- CU head office CU office situated in Zwolle in The Netherlands, where development and maintenance of inspection and certification programs takes place.

- Evaluation A systematic assessment of the extent to which a system, product, process or service fulfills a specific requirement.
- EU / EC European Union or European Commission.
- Farm Assurers GLOBALG.A.P approved Farm Assurers are organizations (e.g. CB, producer group organizations, standard owners, consultants, etc.) that have signed a License Agreement with GLOBALG.A.P and acquired the right from producers to upload and/or register these producer activities in the GLOBALG.A.P Database. The service includes the first registration and any subsequent modifications as well as settings of links in the database. The approved Farm Assurer must be granted these rights in writing from the producer or other legal entity in the GLOBALG.A.P system.
- FoodPLUS The official GlobalG.A.P. organisation.
- GlobalG.A.P. Scheme Manager The official GlobalG.A.P. representative of CU Head Office, responsible for the CU GlobalG.A.P. program, and the communication with the owner of GlobalG.A.P. (FoodPLUS). The Scheme Manager is responsible for the development and maintenance of certification programs, instructions to the Certifier and (Senior) Inspector, (approval of) certification decision, reporting to the client, issuance of Certificates, and post certification activities.
- IAF Sampling Guidelines An international guideline used in order to determine the surveillance frequency of PMO's.
- Import Certificate Officially referred to as "Certificate of Inspection". Certificate in which CU declares based on an issued Scope Certificate that a certain lot of products that is produced outside the EU and imported into the EU is inspected and positively evaluated according to the regulations as mentioned in Regulation (EEC) No. 834/2007 and 889/2008.
- Input A product or auxiliary for which standards in a CU certification program (apart from the certification program for 'Inputs') are applicable, except the materials that are subject in the certification program.
- Inspection An investigation by means of competent judgement and/or by means of testing of a product, process or activity and determination of its conformity with a standard or other normative document; this includes inventories (first inspections).
- Inspector A person who is responsible (??) for the execution of inspections and reporting to the Program Manager or Certifier and client.

- Non-conformity A deviation from specified requirements, or the failure to maintain one or more required management system elements.
- Organic Production Methods Production Method as described in Regulation (EEC) No. 834/2007 and 889/2008, National Organic Program (USDA) and/or Japanese Standards for Organic production Method or applicable CU standards.
- Origin For the purpose of issuing a GMO free declaration: Cultivation, production or breeding method to create or change the original organism (e.g. organic production method, gene technology as described on article 2 of Directive 90/220/EEC by the council of 23 April 1990 concerning the introduction of genetically modified organisms in the environment on purpose.
- PMO Produce Marketing Organisation (PMO) or grower association (grower group) participating in the GlobalG.A.P. program. PMO is referring to Option 2 (group) certification.
- Processing unit A company or company unit where actions are carried out defined under "preparation" in the distinct normative documents.
- Product specification A declaration in which a producer / processor specifies all ingredients in the product concerned.
- Production unit A company or company unit where actions are carried out defined under "production" in Regulation (EEC) No. 834/2007 and 889/2008. Also mentioned agricultural units or farmers units (for organic production) or forestry management units (for forestry).
- Program Manager A person who is responsible for the development and maintenance of a certification program and quality systems.
- Scope Certificate A document issued under the rules of a certification system, demonstrating that adequate confidence is provided that a duly identified product, process or service is in conformity with a specific standard or other normative document.
- Smallholder farmer group A farmer group as described in the concerning chapters.
- Source The location where the product comes from.
- Standard A document established by CU or any other body that provides rules and requirements for activities or their results.



- Transaction Certificate

A certificate in which CU declares – based on an issued scope certificate – that the production process of a certain lot of products is inspected and positively evaluated.

### 1.3 Inspection

<b>Article 3 Conditions for inspection</b>	
1	By accepting any offer made by Control Union Certifications the client enters into an agreement with CU on the terms and conditions as specified in such offer letter as well as in all other documents (including the terms of contract) which are and have been declared applicable to the Agreement.
2	In the event that it is not possible to carry out the inspection at a relevant time because of delayed payment, CU has the right to postpone or cancel the inspection and certification.
3	In the event that it is not possible to carry out the inspection due to safety issues (e.g. in the event of unforeseen natural disasters or political instability), CU has the right to postpone or cancel the inspection and certification. The decision is among others based on internationally (e.g. official statements of ministry of Dutch foreign affairs) and locally available information. If the inspection is cancelled, CU shall inform the client as soon as possible. CU shall decide on a case-by-case basis whether the certification can take place on the basis of other information or the certification has to be cancelled.
4	If the objectivity of the inspection is compromised, the Inspector has the right to abort the inspection. Reasons can be for example the interference of accompanying persons or refusal to grant access as requested by the Inspector. All costs arising from this case are charged to the client.

<b>Article 4 Inspector</b>	
1	The CU Inspector shall be able to identify himself with a valid CU identification card.
2	The CU Inspector shall operate in conformity with the CU procedures.
3	The CU Inspector shall also respect the CU Code of Conduct, which is signed by him/her.

<b>Article 5 Inspection</b>	
1	CU has the right to carry out announced and unannounced inspections. CU has the right to carry out additional inspection activities for certification purposes and to charge the costs in addition to the fees as stated in the client contract.
2	CU has the right to request additional information whenever it believes this to be necessary to guarantee that the regulations are observed and are verifiable.
3	If requested by CU, translation services from the local language into a language chosen by CU staff shall be provided. CU shall decide whether CU or the client shall provide the Inspector translation services. The costs will be charged to the client.

<b>Article 5a Subject of evaluation</b>	
1	During the inspection performed after the application for a new or changed Certificate, the requirements for the process of preparation or marketing can be evaluated in a comparable process. Comparable process can also be defined as preparation or marketing of the same or comparable conventional product.
2	If a Certificate was granted based on review of the comparable process, the client is obliged to inform CUC before first processing. CUC may decide to carry out an additional evaluation.

#### **Article 5b Method of evaluation/inspection**

Evaluation whether the applicable requirements are met can be performed by the following methods:

1	Administrative evaluation at a CU Office;
2	Physical and administrative evaluation at the client's project or elsewhere;
3	Sampling and analysis;
4	Interviews;
5	Cross-checking information received from all of the above.

#### **Article 6 Samples**

1	The Inspector has the right to take samples for analysis.
2	When samples are taken, the Inspector shall provide the client with a duplicate of the sample that is taken.
3	CU shall carry out the analyses on samples by laboratories that are accredited according to EN 45001 / ISO/IEC 17025 for the applicable matrix and inform the client as soon as the results are available. An exception exists for NOP Organic and GMP+ FSA certification. These exceptions are discussed in the respective paragraphs.
4	If the results of the analyses prove that the applicable regulations are not complied with, may the results cause changes in the certification.

#### **Article 7 Register complaints and remedial actions**

1	The client shall safeguard that all complaints received from: 1. Anyone at any stage of the project (production- and processing units), 2. customers and/or 3. other third parties, are centrally registered. The client shall keep records of all received complaints concerning the certified production method or products and of all remedial actions that are taken to respond to the individual complaints. Clients must have on location and available on request a clearly identifiable document for customers complaints. There are documents of the actions taken with respect to such complaints and any deficiencies found in products or services. The complaints procedure must ensure that complaints are adequately recorded, studied and followed up, including a record of actions taken with respect to complaints and any deficiencies found in products or services.
---	---

#### **Article 8 Responsibility and Liability**

1	The client is responsible for all production and processing units, products and activities that are mentioned in the client contract to comply with the applicable standards.
2	The client shall, with regard to the inspection and certification activities of CU, be responsible for persons who work in or for his business.

### **1.4 Inspection report**

#### **Article 9 Inspection report**

1	During the inspection, the inspector shall record his findings on standardized inspection forms. These forms have to be signed by the client or the official representative of the client during the inspection visit to acknowledge the inspector's findings. If the official representative signs, his/her signature is only valid if this person is officially registered as authorized to sign within the company.
2	The inspector shall provide the certifier with all inspection forms with his findings as to the conformity with all the certification requirements.

3	The findings in the inspection forms shall be evaluated and signed by the certifier.
4	After an inspection has taken place CU shall send a summary of the evaluation to the client without undue delay, moreover conforming to any program specific requirements. The client has the right to react on the content of the report within a fixed (program specific) timeframe after sending by CU (date of postmark). If necessary, the client can ask CU for an extended period to react.
5	CU has the right to charge a fee for providing copies of the reports, as well as carry out other services if this is permitted by the client concerned.

## 1.5 Certification

<b>Article 10 Certification</b>	
1	Based on the certification decision, CU will issue, update or withdraw the Scope Certificate.
2	CU has the right to publish the list of its suspended clients.

## 1.6 Certificates

<b>Article 11 Scope Certificate</b>	
1	The scope certificate is only valid if signed by the Managing Director of CU or a person who has been authorized for it by the managing director.
2	CU shall renew the scope certificate within the timeframe indicated in the applicable standards as long as the circumstances are not in conflict with the applicable regulations, the client contract is continued, and financial liabilities are fulfilled.
3	The client shall keep the valid certificate issued in his records.
4	CU has the right to request clients to return any certificates (e.g. scope certificates, import/transaction certificates), as these are legally owned by CU.
5	CU shall keep a copy of the scope certificate for authenticity in its records.
6	The scope certificate shall contain an indication of: <ul style="list-style-type: none"> <li>- the name and address of the client;</li> <li>- the client number;</li> <li>- the certified products and related units;</li> <li>- the applicable certification program;</li> <li>- the standards, regulation or other normative documents to which each product, production unit, or processing unit is certified;</li> <li>- the effective date of certification and / or place and date of issue of the certificate;</li> <li>- a hologram;</li> <li>- any program specific indications applicable.</li> </ul>

<b>Article 12 Invalidity and duplicates of certificates</b>	
1	The client is obliged to inform CU as soon as possible if any changes occur which interfere or might interfere with the requirements as mentioned in the concerned regulations or which indicate a change in the scope of the certificate. If these changes are not reported to CU, the scope certificate loses its validity.
2	From the moment of termination of the client contract, the scope certificate issued becomes invalid.
3	In the event of the certificate being lost by the client, the rights to be derived from the certificate shall cease to exist. In those cases, CU shall only issue a new copy of the certificate if the client concerned provides CU with a written declaration in which the client obliges himself to return the original certificate when it is found.
4	In the event of invalidity of a certificate, CU has the right to notify buyers concerned, inspection bodies concerned, competent authorities and other third

	parties concerned.
5	CU has the right to confirm validity of certificates that are issued by CU on request of third parties, without prior permission of the client.

### Article 13 Accreditation

1	<p>CU obliges itself to be accredited or recognized by:</p> <ul style="list-style-type: none"> <li>- the Dutch Accreditation Council RvA for the certification programs Organic Production according EU legislation 834/2007 and 889/2008, GlobalG.A.P., GMP+, GGL, PEFC ,GOTS, BRC, HACCP and ISO9001. The RvA is member of EA (European co-operation for Accreditation) and IAF (International Accreditation Forum);</li> <li>- USA Ministry of Agriculture for requirements on organic products and agricultural processed food;</li> <li>- Japan Ministry of Agriculture for requirements on naturally grown chickens (jidoriniku), organic agricultural products, organic processed food and organic feed;</li> <li>- Indian Ministry of Agriculture for requirements on organic production;</li> <li>- Turkish Ministry of Agriculture for requirements on organic production;</li> <li>- Conseil des Appellations Réservées et des Termes Valorisants (CARTV), from the Canadian province of Quebec for requirements on organic production;</li> <li>- FoodPLUS for the certification program GlobalG.A.P.;</li> <li>- The Foundation Skal;</li> <li>- The Forest Stewardship Council (FSC) for the Program Management of Natural Forest, Forest Plantations, Chain-of-Custody and Group Certification and to award the FSC logo;</li> <li>- NSF-CMi (Checkmate International, U.K.) to carry out Tesco Nature's Choice audits;</li> <li>- UTZ CERTIFIED (UTZ Kapeh) organization for UTZ inspection and certification;</li> <li>- Various organizations or labels for sustainable or organic products.</li> </ul>
2	CU shall give a copy of the accreditation certificates on request to the client.
3	CU has the right to grant the accreditation bodies insight into all records containing client information.

### 1.7 Use of indications and symbols

#### Article 14 Use of indications and symbols

1	From the moment CU has issued the scope certificate, the client has the right to use indications, statements and symbols as referred to on the scope certificate on products or with regard to processing activities as mentioned on the scope certificate.
2	The use of indications that refer to the certified production method or to CU is only allowed after the concerned scope certificate has been issued.
3	Labels and logos shall be evaluated during the inspection.
4	Use of labels and logos must be according to the program specific requirements.
5	Certified clients are entitled to use the CU logo according the requirements described in Annex 2.

### 1.8 Appeals/Complaints

#### Article 15 Appeals/Complaints

	<ul style="list-style-type: none"> <li>• For Appeals against certification decisions: See valid Terms of Contract art. 13.1.</li> <li>• If you wish to submit a complaint to Control Union Certifications, please use the form in Annex 1</li> <li>• We kindly request you to specify your complaint as much as possible ("who,</li> </ul>
--	--

	<p>what, where, when”) and provide any necessary documentation if applicable.</p> <ul style="list-style-type: none"> <li>• You can send this form with any attachments to our certification branch offices or to our office in Zwolle, The Netherlands (certification@controlunion.com, fax: +31-38-4237040).</li> <li>• An appropriate member of staff (certifier / manager) will confirm receipt of your complaint, with a timeframe of handling the complaint, within two weeks if no improvement can be made before that time.</li> <li>• The quality manager, program manager or certifier will inform the complainant of the results in writing or verbally, depending on the size and nature of the complaint.</li> <li>• Incomplete complaints cannot be processed.</li> </ul>
--	--

## 1.9 Final provisions

<b>Article 16 Documents and publication</b>	
1	All documentation, regulations and communication shall take place in English, unless otherwise agreed or otherwise mentioned in an individual document.
2	CU shall have all normative documents as mentioned in this Regulation available at its web-site and (in hard-copy) at the CU head office.
3	CU is entitled to modify the CU documents and regulations and shall publish them as amendments for existing clients.
4	In the event that changes are made to documents or regulations, CU shall inform the client concerned in writing about the changes and about the day they come into effect.
5	The client is unconditionally bound to the changed documents and regulations from the day they come into effect.
6	CU has the right to publish a list with clients’ names and addresses, type of production/processing activities and products.

<b>Article 17 Cases not covered by this Regulation</b>	
1	The Managing Director of CU shall decide in all cases not covered by this Regulation or by any other applicable regulations or agreements.

## 1.10 Policy on taking over projects from other certification bodies

<b>Article 18 Taking over projects from other certification bodies</b>	
1	<p>This article describes the general policy of CU in case a project which was already inspected and/or certified by another certification body applies at Control Union.</p> <p>On the CU application form the operator needs to indicate that his project was already inspected earlier and/or certified by another certification body.</p> <p>If such information is indicated on the application form, the CU certifier and/or program manager contacts the previous certification body in writing:</p> <ul style="list-style-type: none"> <li>- informing that CU will evaluate the farmers/units;</li> <li>- asking for the last issued Certificates, reports, non-conformities, farmers lists and any other relevant information.</li> </ul> <p>CU will evaluate the received information with special attention to any open non-conformities.</p> <p>All open conditions or non-conformities given by the previous certification body shall be evaluated and closed before CU can make a positive certification decision.</p> <p>Regardless of the information received, Control Union will always carry out its</p>

	<p>own full physical audit against the applicable standard. The information received from the preceding certification body will never replace CU's own full evaluation of the project.</p> <p>The CU certifier will decide on the status of the project based on the findings of the CU auditor and according to the CU procedures.</p> <p>The certifier will never deviate from the CU procedures or change the type or the possible deadline of any non-conformity with the aim to bring his decision in line with the previous certification body's decision.</p>
--	--

## ANNEX 1 Complaint Form

- If you wish to submit a complaint to Control Union Certifications, please use this form.
- For certain programs separate dispute protocols are in force as specified in the applicable contract: FSC. MSC (see also specific organizations website).
- For certain programs additional dispute protocols are in force as specified in the applicable contract: i.e. BRC (see also specific organizations website).
- An appeal can only be made against a certification decision of CU as per procedures described in the terms of contract point 13. For that purpose this form can also be used.
- We kindly request you to specify your complaint as much as possible (“who, what, where, when”) and provide any necessary documentation if applicable.
- You can send this form with any attachments to our local certification branch offices or to our office in Zwolle, The Netherlands ([certification@controlunion.com](mailto:certification@controlunion.com)) fax: +31-38-4237040).
- An appropriate member of staff (Certifier / Manager) will confirm receipt of your complaint, with a timeframe of handling the complaint, within two weeks if no improvement can be made before that time.
- We will inform you of the results in writing or verbally, depending on the size and nature of the complaint.
- In case this solution is unsatisfactory the dispute protocol as described in article 14 of the Terms of Contract comes in force.
- Incomplete complaints cannot be processed.

Attachments may be used

date	
Your Organisations name	
Your personal name	
Your address	
Telephone	
Fax	
e-mail	
<p><b>Complaint</b> PLEASE SPECIFY YOUR COMPLAINT AS MUCH AS POSSIBLE (“WHO, WHAT, WHERE, WHEN”) AND PROVIDE ANY NECESSARY DOCUMENTATION IF APPLICABLE.</p>	



Underneath an abstract is given on the procedure for handling complaints as specified in the Quality Manual of Control Union Certifications B.V.

Abstract of the procedure to handle complaints:

**a Scope**

Handling of appeals, complaints and improvements

**b Aim**

Efficient registration, handling and evaluation of complaints and to prevent repetition of mistakes and if possible to satisfy the complainant. Implementation and follow-up of measures to improve the quality of the work and the organization (improvements).

**c Responsibilities**

Managing Director (MDC): (assistance with) Handling of complaints, selection and implementation of improvements, evaluation with complainant;

Managing Director (MD): Handling of complaints, evaluation with complainant;

Technical Manager (TM): Assistance with handling of complaints, implementation of improvements;

Quality Manager (QM): Registration, investigation, handling and follow-up of complaints. Registration, selection, implementation and follow-up of improvements. Filing of Improvement Form;

Program Manager: Registration, investigation, handling and follow-up of complaints. Registration, selection, implementation and follow-up of improvements. Filing of Improvement Form;

Certifier: Registration, investigation, handling and follow-up of complaints. Registration, selection, implementation and follow-up of improvements. Filing of Improvement Form;

(Senior) Inspector: Assistance with handling of complaints, implementation of improvements.

Complaints

- 1.1 Complaints can be received from clients, relations or employees in writing (e.g. by means of the form available on the website) or verbally;  
For certain programmes a separate procedure is applicable. This is maintained in the applicable program manual.(e.g. FSC: FSC dispute resolution protocol);
- 1.2 The decision on acceptance of a complaint lies with the MD, in agreement with the QM, certifier or PM, depending on the nature of the complaint. The person who takes this decision must be independent in relation to the complaint;
- 1.3 After acceptance, the complaint handling is assigned by the MD, or QM;
- 1.4 Complaints in relation to methods are assigned to the PM, TM or QM;
- 1.5 Complaints in relation to employee's behaviour, and/or work execution are assigned to the MD;
- 1.6 Informal complaints are handled in work meetings
- 1.7 The QM is informed about the complaint, and decides if it is necessary to consult the Managing Director (MD);
- 1.8 The MD may decide to handle serious complaints;
- 1.9 The MD may decide to consult the advisory council in specific cases;
- 1.10 The assigned complaint handler sends a written confirmation of the complaint, with a timeframe for handling the complaint, within two weeks if no improvement can be made before that time;
- 1.11 The assigned complaint handler handles the complaint within the timeframe as communicated with the complainant;
- 1.12 The assigned complaint handler informs the complainant of the results, and registers this communication

## ANNEX 2 Conditions for publication and use of the Certification Logo

### Introduction:

This document describes the conditions concerning publication and use of certification logos by customers of Control Union Certifications B.V. (the Certificate-holder) with a valid Certificate.

### Articles:

1. The Certificate-holder can only publish those certification-logos that are concerning the valid issued Certificate, and does not make or permit any misleading statement regarding its certification, nor imply that the certification applies to activities that are outside the scope of certification.
2. The Certificate-holder can use the CU certification logo, to be requested at the local office (for a specimen see below)
3. The certification logos can be used in full colour, as well as in black and white.
4. The Certificate-holder can use the certification logos on letterheads, brochures and other promotion material. It is not allowed to use the logo on products, packaging, samples or any other declarations concerning a product.
5. It is allowed to reproduce the logo in any other size with exception of the logo of the accreditation council which can never be smaller than 7 mm in diameter.
6. The certification logo may never be bigger than the size of the company logo on the same document.
7. The logo needs to be reproduced completely (in one piece) always.
8. It is not allowed to use the accreditation logo only.
9. The color-codes for the logo are the following:

Grey:	PMS	5497
Blue:	PMS	2985
Black:	Process	black
10. It is in no case allowed to use the logo on the product itself, or to suggest that the product is certified itself for clients that do not have a valid Product Certificate.
11. When the Certificate-holder does not respect these conditions for use of certification logos, the Certificate-holder will stop immediately, without delay, the use against which CU has objected.
12. Besides the actions mentioned in article 11, CU can take the following measurements:
  - suspension or withdrawal of the Certificate.
  - publication of the non-compliance
  - juridical proceduresThe action taken is depending on the severity of the non-compliance, the results of the non-compliance, and if the non-compliance was made intentionally.
13. Irrespective of the measures taken as per article 11, the decision of Control Union Certifications will in all cases be decisive.

14. In case the validity of the Certificate is ended, for whatever reason, the Certificate-holder has to stop immediately with the use and/or distribution of promotion material on which the certification logo is printed.
15. It is not permitted to apply the logo to laboratory tests, calibration or inspection reports, as such reports are deemed to be products in this context.

Logo examples :

