

# Certification Quality Management

## System Documents

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Version: (C/0)

### Rainforest Alliance SAS

### Customer Service Management Procedure

Status: Controlled

Controlled No.:

Prepared By: Yazhen QIAO

Reviewed By: Dapeng LIU, Xiaoti MA

Approved By: Shen ZHENG, Qing ZHANG

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China Standard Conformity Assessment Co.,Ltd.

**Records of Modification**

No.	Clause	Modification References	Before	After	Responsible Person	Date
1	5.6.4.a	CB rules	If a customer has any objection or dissatisfaction with the certification decision, certification service, etc., he or she shall lodge a appeal or complaint with CSCA International Cooperation Department within 10 calendar days.	Removed: within 10 calendar days	Wang Ziyan	04-10-2023
2	5.6.4 a	CB rules	Anonymous appeals or complaints that are not clear in detail are not accepted or handled.	Updated for: The risk of anonymous grievances should be assessed by CSCA, but the CSCA is under no obligation to investigate the complaint if there is no sufficient preliminary evidence or information.	Wang Ziyan	04-10-2023
3	5.6.4 b	CB rules	Upon receipt of a appeal or complaint document	Updated for: Upon receipt of a appeal or complaint document(anonymous/non-anonymous grievances has the sufficient evidence)	Wang Ziyan	06-05-2023

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## 1 Purpose

This procedure is developed to: grow a full awareness of customer service of any personnel, establish a smooth communication with customers, collect comments and suggestions from customers or stakeholders timely, and improve the quality of work and service actively, improve customer satisfaction effectively.

## 2 Scope

This procedure is applied for handling appeal, complaint or any dispute from any customers or stakeholders.

## 3 Definitions

### 3.1 Appeal

Customer satisfaction' expresses dissatisfaction with the organization about the product, service, or complaint handling process, whether or not it is explicitly expected to be answered or resolved. Applicant or certificate holder submits a written request to CSCA for re-considering about the negative decisions of certification services.

Notes: Negative decisions including: application denied, audit termination, request to take corrective actions, changing certification scope, non-certification or de-certification, suspension or certification termination, or any measure of hindering get certified.

### 3.2 Complaint

Issuing dissatisfaction with the organization's product or complaint handling process, including express or implied signs of expecting a response or resolution.

## 4 Responsibilities

4.1 Any personnel of CSCA and part-time auditors have the responsibility to provide high quality services to customers under the premise of impartiality and confidentiality.

4.2 The Task Manager is responsible for answering customer calls or visits, visiting customer, handling customer satisfaction surveys, handling customer appeal or complaints, doing customer feedback statistics, etc.

4.3 The Senior Technical Manager is responsible for providing technical support, including technical information and answering technical questions.

## 5 Procedures:

### 5.1 Customer service contents:

Customer service activities involve collecting, sorting, classifying, analyzing and handling customer information management (information of customer visiting/calling, visiting customers etc.); providing customers with technical services (providing certification materials, answering certification-related requirements, planning of certification implementation process, customer change needs and technical services for certification follow-up activities); customer complaint handling (certification quality complaints, service quality complaints, business receptionists reporting, auditor reporting, etc.); customer satisfaction surveys; customer meetings or training activities.

## 5.2 Handling customer visiting/calling information

5.2.1 For information such as inquiries, demands, complaints or complaints raised by customers through telephone calls, door-to-door visits, etc., the Project Management personnel of the International Cooperation Department shall receive, reply to, resolve or assist in resolving them politely.

5.2.2 The Task Manager is responsible for timely answers of the customer's inquiry, should explain the situation to the customer if it could not be answered in a timely manner, actively contact the implementation of relevant matters, and within the promised time to give a reply.

5.2.3 Task Manager should identify the responsible positions for the customer needs that need to be implemented in a timely manner, and pass the information to the relevant departments or positions to deal with, while tracking the implementation of the problem, and timely feedback on the results of the processing to the customer.

## 5.3 Customer satisfaction surveys:

5.3.1 Task Manager is responsible for the handling of customer satisfaction surveys, which are conducted using the *Customer Satisfaction Questionnaire (CSCA/P03. R02)* in the form of a survey that includes:

- a) Certification personnel capabilities;
- b) The clarity and convenience of the certification process;
- c) The acceptability of certification fees;
- d) The level of professional competence of the auditor.
- e) The time frame and efficiency of obtaining the certificate.
- f) Certification helps the business improve.
- g) The timeliness of the services after certification.

5.3.2 *Customer Satisfaction Questionnaire (CSCA/P03. R02)* may be issued with the certification certificate or confirmation at the same time, it is also available to choose WeChat, phone call, mail, courier, customer door-to-door collection, personal delivery of relevant personnel and other ways.

5.3.3 The questionnaire shall be contained in a standard envelope with a stamp on it, with the return address and the addressee on the surface of the envelope. At the same time, other effective means should be taken to improve the

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recovery rate of questionnaires, such as e-mail, online filling out.

5.3.4 The Task Manager shall do a good job of collecting, registering and sorting the questionnaire every month and fill in the *Customer Information Management Account (CSCA/P03. R01)*.

5.3.5 For items that require further telephone communication, such as the customer's needs or suggestions in the questionnaire, follow this procedure 5.4.

#### **5.4 Visiting Customer**

5.4.1 Task Manager combine the *Customer Satisfaction Questionnaire (CSCA/P03.R02)* with the project review plan and audit progress on a monthly basis. recycling situation, set the proportion of customer return visits is not less than 5% of the total number of customers.

5.4.2 Task Manager should log on to the *Customer Information Management Account (CSCA/P03. R01)*.

5.4.3 Task Manager should track the results of customer feedback or recommendations and record them on the Customer Management Information Desk (CSCA/P03. R01).

5.4.3 The priority of return visits is WeChat service number push, telephone, online communication tools (QQ, MSN, Skype, etc.), mail.

5.4.4 For customer complaints, follow the procedure 5.5.

5.4.5 Monthly inspection of the *Account for Customer Management Information (CSCA/P03. R01)* and the handling of the problem.

#### **5.5 Customers complain about the processing of information.**

5.5.1 In the event of a customer's call to visit information, customer return information or customer complaints a customer's visit, the Task Manager is responsible for determining the nature of the complaint, and if it is a complaint or complaint, it shall be carried out in accordance with this procedure 5.6.

5.5.2 Task Manager should track the handling of customer complaints and maintain timely communication with customers.

5.5.3 The Scheme Manager is responsible for tracking significant customer complaints, reviewing the handling and tracking of customer complaints and, if necessary, reporting to the Executive Manager

#### **5.6 Handling appeals and complaints**

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#### 5.6.1 Appeal scope

- a) Refusal to accept the application;
- b) Refusal to proceed with the audit;
- c) Require corrective action;
- d) Change the scope of certification;
- e) Non-certification, suspension or revocation of certification;
- f) Any other measures that impede certification.

#### 5.6.2 Complaint scope:

- a) The applicant, certificate holder or other external personnel are not satisfied with CSCA's certification policy, certification process and certification results and the performance of the certification personnel;
- b) External personnel are not satisfied with the use of the certified holders' products, certification certificates and certification/accreditation marks.

#### 5.6.3 Not included at the scope of complaints:

- a) Appeals and complaints that have involved into legal proceedings;
- b) Appeals and complaints arising from civil and economic disputes between the dispute raisers and the certificate holder;
- c) The same appeal and complaint has been dealt with, and there are no new circumstances/reasons;
- d) Appeals and complaints of incomplete evidence;
- e) Appeals and complaints that have been dealt with by the relevant authorities;
- f) Appeals and complaints falling within the jurisdiction of the relevant authorities and supervisory authorities;
- g) Appeals and complaints unrelated to certification.

#### 5.6.4 Complaints, complaint handling process.

- a) If a customer has any objection or dissatisfaction with the certification decision, certification service, etc., he or she shall lodge a appeal or complaint with CSCA International Cooperation Department , and shall provide details, the supporting materials with a signature. The risk of anonymous grievances should be assessed by CSCA, but the CSCA is under no obligation to investigate the complaint if there is no sufficient preliminary evidence or information.
- b) Upon receipt of a appeal or complaint document(anonymous/non-anonymous grievances has the sufficient evidence), Task Manager shall, within 10 calendar days, confirm receipt of the complaint and the information of the complaint to the dispute raiser, identify and determine whether to accept appeals, complaints in accordance with article 5.6.1, 5.6.2 of this procedure, fill in the *Customer Management Information Form (CSCA/P03. R01)*, and report to the Executive Manager of Rainforest Alliance SAS and inform dispute raiser whether the appeal or

complaint is accepted or noted, informs the reasons for inadmissibility, its follow-up procedures and the expected duration of the findings of the investigation.

- c) The Executive Manager of Rainforest Alliance SAS will, in accordance with the nature of appeals or complaint, appoint a person to analyze and deal with it and, if necessary, set up a special Panel. The Appeals Processing Panel shall consist of at least two members (who are not involved in the review, certification decision process, and have no conflict of interest with the dispute raiser) and at least one of whom shall be qualified by Lead Auditor for the appropriate certification scope.
- d) CSCA's staffs who are responsible for handling appeals, complaints and disputes shall remain objective and impartial and shall have a duty of confidentiality with regard to any information relating to appeals, complaints and disputes, in accordance with the provisions of the *Impartiality and Confidentiality Management Procedure (CSCA/P05RA-2020)*. Take various measures to investigate complaints, the contents of complaints, obtain relevant evidence, including listening to the testimony of both parties, on-site investigation, consultation with experts, drawing on similar complaints in the past, the results of appeals and complaints, etc.
- e) Appeal or complaint panel shall record the investigation process, make objective and impartial judgments, and form a written report of opinions by the Executive Manager of approval of the Task Manager to prepare the *Notice of Results of Appeals and Complaints (CSCA/P03. R03)*.
- f) The time limit for the processing of appeals is: no more than 10 calendar days to confirm receipt of the appeal and inform it of the follow-up procedures and the expected period, resolve and communicate decision of appeal no more than 30 calendar days after received. The corresponding appealing dates and conclusions should be recorded on the Rainforest Alliance's RACP platform, and the appropriate certification status of the complaining customer should be updated in a timely manner. CSCA will not resolve complaints by changing the scope of certification to eliminate issues within the scope of certification.
- g) CSCA will always request approval from the Rainforest Alliance before taking actions that deviate from any rules in the Rainforest Alliance Assurance documents/system. Such exceptions requests shall be submitted to [cbcert@ra.org](mailto:cbcert@ra.org) or as otherwise instructed by the Rainforest Alliance, at least 3 weeks prior to the intended implementation date. For complaints that cannot be answered due to no contact information, CSCA will complete the complaint process in accordance with the above procedures and record the information in the Rainforest Alliance Assurance Platform.

#### 5.6.5 Follow-up to appeals and complaints.

- a) Task Manager is responsible for maintaining all records and information on appeals, complaints handling processes, including appeal, complaints, interview records, investigation and verification records, confirmation of information and conclusions of processing.

b) For the handling of appeals, complaints found in the process of problems, the Task Manager is responsible for sorting out, fill out the *Requirements of Corrective and Preventive Actions (CSCA/P17RA. R01)*, reported to the management representative to develop corrective actions and implementation, responsible for verifying the effectiveness of the post-action measures, if necessary, reported to the manager's representative for approval. This is carried out in accordance with the *Corrective and Preventive Measures Management Procedure (CSCA/P17RA-2017)*.

## 5.7 Risk management of certificate holder

5.7.1 Task Manager is responsible for data statistics via the listed channels:

(1) Notification of change information by the certificate holders;

(2) The summary of customer satisfaction survey statistics at the same period according to the article 5.3.4 of this procedure, gathering information according to the satisfaction survey customer monthly list via online survey, phone call and so on, the main contents are including:

a) Serious problems of certificate holder's product are observed by authorities;

b) Significant quality problems, complaints or media exposure, or the withdrawal and disposal of large quantities of non-conforming products;

c) CSCA internal management or certification implementation process management is not in place or errors, causing major complaints from customers and other stakeholder;

d) Changes in the technical standards, structure (components), key components, facilities and main implementation processes of the certificate holders.

5.7.2 Where the above-mentioned high-risk problems occur, The Task Manager shall promptly report to the Executive Manager, who shall organize the relevant personnel to formulate response measures and, if necessary, initiate emergency procedures, in accordance with the *Certification Risk Management Procedures (CSCA/P04RA-2020)*.

## 5.8 Customer service information statistics.

5.8.1 Task Manager conduct monthly statistics on customer feedback, customer satisfaction surveys, return visits, appeals and complaints, and fill out the *Summary Form of Customer Satisfaction Surveys (CSCA/P03. R04)*, confirmed by the Manager of International Cooperation Department and, if necessary, approved by the Executive Manager in charge.

5.8.2 Task Manager will publish the *Summary of Customer Satisfaction Surveys (CSCA/P03.R04)* by 10 January



each year. Feedback to the Executive Manager as the basis for personnel evaluation and institutional decision-making.

5.8.3 Task Manager conduct a summary analysis of customer feedback, customer satisfaction surveys, return visits and complaints on an annual basis, and prepare the *Customer Satisfaction Survey and Customer Service Report (CSCA/P03. R05)* as one of the inputs for the management review.

## 6 Supporting documents

*CSCA/P05RA-2020 Impartiality and confidentiality management procedure*

*CSCA/P06RA-2020 Certification personnel management and training procedure*

*CSCA/P17RA-2017 Corrective and preventative measures management procedure*

*CSCA/P18-2017 Information and quality objective management procedure*

## 7 Records

### 7.1 General records

*CSCA/P03RA. R01 Customer Management Information Form*

*CSCA/P03RA.R02 Customer Satisfaction Questionnaire*

*CSCA/P03RA. R03 Notice of Results of Complaints and Complaints*

*CSCA/P03RA.R04 Summary of Customer Satisfaction Surveys*

*CSCA/P03RA. R05 Customer Satisfaction Survey and Customer Service Report*

### 7.2 Reference Records

*CSCA/P17. R01 Requirements of Corrective and Preventive Actions*