



Perry Johnson Registrars Food Safety, Inc.

Complaint Procedure

This procedure outlines the process for handling complaints and the subsequent corrective action process. This procedure is available on request or accessible on the client access page at www.pjrfsi.com.

COMPLAINT PROCEDURE

1 General

- 1.1 Purpose: To set forth the process for receiving, documenting and resolving customer complaints (including root cause analysis and systemic corrective action).
- 1.2 Scope: Applies to complaints about PJRFSI or complaints about organizations certified by PJRFSI.

2 Related Procedures, Exhibits

- 2.1 ISO/IEC 17065: Conformity Assessment – Requirements for Bodies Certifying Products, Processes and Services (latest revision)
- 2.2 SQF Certification Body License Agreement (latest revision)
- 2.3 Criteria for SQF Certification Bodies (latest issue)
- 2.4 BRCGS Certification Body Framework Agreement (latest revision)
- 2.5 BRC004: Requirements for Certification Bodies Offering Certification Against the Criteria of the BRCGS Global Standards (latest issue)
- 2.6 GLOBALG.A.P. General Regulations Part I, II, and III (latest edition)
- 2.7 GLOBALG.A.P. Certification and Sublicense Agreement (latest edition)
- 2.8 Produce Safety Assurance Standard Addendum to GLOBALG.A.P. General Regulations (latest edition)
- 2.9 Harmonized Produce Safety Standard Addendum to GLOBALG.A.P. General Regulations (Latest edition)
- 2.10 GLOBALG.A.P. Chain of Custody General Regulations (latest edition)
- 2.11 Produce Handling Assurance Addendum to GLOBALG.A.P. Regulations (latest edition)
- 2.12 FSMA Accreditation of Third-Party Certification Bodies To Conduct Food Safety Audits and To Issue Certifications (latest rule)
- 2.13 PJRFSI Cannabis Safety Standard (latest edition)
- 2.14 Gluten- Free Certification Program Global Standard (latest issue)
- 2.15 CanadaGAP Program Management Manual (latest version)
- 2.16 Leaf Marque Standard (latest version)
- 2.17 GRMA 455-Standard Master Certification Program (latest version)
- 2.18 #PJRFSI-0: By-Laws
- 2.19 #PJRFSI-1: Quality Manual
- 2.20 #SOP-01 series: Certification Procedure
- 2.21 #SOP-08: Corrective and Preventive Action Procedure
- 2.22 #SOP-10: Dispute/Appeal Procedure
- 2.23 #FS-0801: Corrective and Preventive Action Log
- 2.24 #FS-0901: Record of Complaint Form
- 2.25 #FS-3 series: Certification Agreement
- 2.26 #F-38fsi: Auditor Evaluation
- 2.27 #F-18fsi: Customer Satisfaction Survey
- 2.28 #AV-0901: Guidance on Definition of Inquiry and Complaint

3 Complaints about PJRFSI

- 3.1 A customer complaint is defined as:
 - a. Any query or complaint that the client identifies as a complaint;
 - b. Any query, inquiry, or statement that occurs as a result of a system failure as determined by PJRFSI management;
 - c. Anything submitted formally in writing to the Customer Service Department.

#AV-0901 Guidance on Definition of Inquiry and Complaint provides further instruction on distinguishing an inquiry from a complaint.

Complaints include concerns, comments, questions or anything that questions PJRFSI's management system.

- 3.2 All PJRFSI employees can accept client inquiries and complaints and shall be investigated and resolved without delay. The employee who responds to the client's inquiry or complaint should record the communication in the PJView notes section of the client record as necessary so that any other employee(s) who have contact with the client can review the record of interaction. All complaints should be forwarded to the Food Safety Program Accreditation Manager.
- 3.3 The Food Safety Program Coordinator will contact the complainant by email or phone to acknowledge the receipt of the complaint. The Food Safety Program Coordinator must document the complaint on the #FS-0901 (Record of Complaint Form) and then forward the documented complaint to the Food Safety Program Accreditation Manager in order to have the complaint assessed.
- 3.4 The Food Safety Program Accreditation Manager is responsible for assessing the nature and/or severity of the complaint and determining if it needs to be assigned for further investigation and resolution. The Food Safety Program Accreditation Manager is also responsible for determining if the President needs to be immediately notified and/or involved in the investigation and resolution.
- 3.5 PJRFSI receives feedback from clients using the #F-38fsi Auditor Evaluation Form and the #F-18fsi Customer Satisfaction Survey. The nature and severity of any negative feedback will be evaluated by the Food Safety Program Accreditation Manager or appropriate designee to determine if it should be treated as a complaint according to this procedure.
- 3.6 The Food Safety Program Accreditation Manager or appropriate designee should assign an investigation and resolution team within three (3) business days following receipt of the complaint and issue a corrective action request and due date using the #FS-0901 (Record of Complaint Form) to be completed by the team. Personnel, including management, should not be employed to investigate any complaint if they have been involved directly with the complainant within the past two years and/or in the complainant's complaint, dispute, and/or appeal or if their relationships to the parties involved may compromise the impartiality of the investigation.
- 3.7 Using the #FS-0901 (Record of Complaint Form), the investigation and resolution team document, as appropriate, root cause analysis and implementation of corrections and corrective actions to be submitted to the Food Safety Program Accreditation Manager or appropriate designee for approval and closure.
- 3.8 The Food Safety Program Accreditation or appropriate designee sends the client formal communication of the investigation findings and complaint resolution within 30 days of the complaint filing.
- 3.9 The Food Safety Program Accreditation Manager logs all complaints about PJRFSI on the Complaints-PJRFSI section of the #FS-0801 Corrective and Preventive Action Log for follow-up.
- 3.10 A summary of complaint findings and any trends are reviewed during the Management Review meetings. The effectiveness of the complaint system will also be verified during internal audits.

4 Complaints about PJRFSI Certified Companies

- 4.1 Complaints about a PJRFSI certified company should be forwarded to the Food Safety

Program Accreditation Manager who will elicit all pertinent information from the complainant or the PJRFSI employee who received the complaint and shall be investigated and resolved without delay. The Food Safety Program Accreditation Manager will document the information about the complaint on the #FS-0901 (Record of Complaint Form) and forward it to the Food Safety Program Accreditation Manager.

- 4.2 The Food Safety Program Accreditation Manager or appropriate designee communicates the complaint to the Certified Company in a manner which maintains the confidentiality of the complainant and requests the Certified Company to submit a written response within 30 days or sooner if the nature and severity of the complaint warrants it. Complaints regarding a certified company represent a source of information as to possible nonconformity. The Certified Company should investigate the complaint and report to PJRFSI the results of the investigation and the actions taken in response. The Certified Company's report should include, as appropriate:
 - a. the root cause of the nonconformity, including any predisposing factor within the organization's FSMS;
 - b. corrections taken; and
 - c. corrective actions taken.
- 4.3 Where upon investigation of a complaint about a Certified Company, the Food Safety Program Accreditation Manager and/or appropriate designee determines that there has been a substantiated breakdown of the Certified Company's food safety and quality management system (FSQMS) or any other condition not in accordance with the applicable food safety standard criteria, the Food Safety Program Accreditation Manager or designee must invoke the PJRFSI procedure for Suspension or Withdrawal of Certification (#SOP-01series).
- 4.4 If the Certified Company does not respond within 30 days and/or if the Food Safety Program Accreditation Manager or appropriate designee, having reviewed the matter, determines that the Certified Company has violated the terms of its agreement with PJRFSI, the Food Safety Program Accreditation Manager or designee must invoke the PJRFSI procedure for Suspension or Withdrawal of Certification (#SOP-01 series).
- 4.5 The Food Safety Program Accreditation Manager or appropriate designee, after reviewing feedback from the Certified Company, may determine that the complaint does not violate the PJRFSI Certification Agreement (#FS-3 series). S/he may, at his/her discretion, declare the matter closed without taking further action.
- 4.6 In any event, the Food Safety Program Accreditation Manager or appropriate designee notifies the Certified Company, in writing, of PJRFSI's decision in the matter. S/he also notifies the Complainant of PJRFSI's decision regarding the Certified Company's certified status. If either party finds PJRFSI's decision to be unacceptable, the Food Safety Program Accreditation Manager or appropriate designee advises the notified parties that the decision may be disputed per PJRFSI's Dispute/Appeal Procedure (#SOP-10).
- 4.7 The Food Safety Program Accreditation Manager or designee logs each complaint about a PJRFSI Certified Company on the Complaints-Suppliers section of the #FS-0801 Corrective and Preventive Action Log for follow-up.
- 4.8 A summary of complaint findings and any trends are reviewed during the annual Management Review. The effectiveness of the complaint system will be verified during internal audits.
- 4.9 The Food Safety Program Accreditation Manager or designee notes the complaint activities in the Certified Company's client file and flags it to notify any Auditor(s) assigned to the next onsite audit of the Certified Company.
- 4.10 During the next onsite audit of the Certified Company, PJRFSI Auditors should review any

outstanding complaints to verify corrective/preventive action.

5 Records

- 5.1 Records of all aspects of complaint processing are maintained by the Food Safety Program Accreditation Manager or designee under strict security, in accordance with #SOP-05 Quality Records Procedure.
- 5.2 Information which PJRFSI obtains about a supplier from sources other than the supplier (e.g. a complainant or a regulator) is treated as confidential.
- 5.3 All records regarding complaints about PJRFSI and complaints about PJRFSI certified companies are made available to Licensing and Accreditation Bodies upon request.