



## COMPLAINTS POLICY AND PROCEDURE

### **HARPS Complaint Policy**

One Direction ANZ is committed to ensuring that any individual or organisation working with HARPS has the right to lodge a complaint and to have their concerns addressed in a manner that ensures equity, fairness, accountability, and transparency.

### **One Direction ANZ will provide a complaints management procedure that:**

- Is simple and easy to use;
- Is available to all of industry, this includes but is not limited to HARPS suppliers, auditors, certification bodies, committee members and service providers;
- Complaints are assessed fairly and responded to promptly;
- Is procedurally fair and follows principles of natural justice; and
- Complies with any relevant legislation.

### **What is our commitment to the management of complaints?**

If a complaint is made to One Direction ANZ, the following can be expected:

- The complainant will be treated with respect;
- Information will be provided in terms of how the complaint will be managed;
- The complaint will be processed with fairness and openness;
- Reasons will be provided for the decisions made; and
- We will protect your privacy.

### **What can complaints be made about?**

Complaints can be made in relation to a number of areas, the following is a list of potential causes for complaint, though this list is not exhaustive:

- Decisions made in relation to HARPS audit outcomes;
- The behaviour or approach taken by a HARPS auditor;
- The cost of HARPS audits;
- The cost of fees associated with the management of the HARPS program;
- Content within the HARPS standard, technical documents, policies and procedures or IP;
- Service provision, i.e., training, witness auditing (refer to the HARPS Witness audit protocol for Certification Bodies); and
- Privacy related matters (refer to the HARPS Privacy Policy).

## **HARPS Complaints Procedure**

### **Making a complaint**

A person or organisation making a complaint may do so either in writing or verbally to One Direction ANZ via the HARPS Enquiry Form located on the HARPS Website under the Contacts Tab, or by emailing HARPS directly at [harps@harpsonline.com.au](mailto:harps@harpsonline.com.au) or by contacting the HARPS Helpline on 1300 852 219.

If the complaint relates to:

- The cost of fees associated with the management of the HARPS program;
- Content within the HARPS standard, technical documents, policies and procedures or IP;
- Service provision, i.e., training, witness auditing, administrative services; and/or
- Privacy related matters.

Then, complaints shall be directed to One Direction ANZ directly.

If the complaint relates to:

- Decisions made in relation to HARPS audit outcomes;
- The behaviour or approach taken by a HARPS auditor; and/or
- The cost of HARPS audits.

Then, as outlined in the HARPS Scheme Rules, complaints must be directed to the respective Certification Body in the first instance. All HARPS approved Certification Bodies are required to have a complaints management process in place. If the complaint has not been addressed to the level of satisfaction of the complainant, HARPS is available to assist with the complaint resolution, however, HARPS will not be involved in the first instance.

### **Registering the complaint**

One Direction ANZ is responsible for registering the complaint in the HARPS Complaints Register and for informing the complainant that their complaint has been received within a 48-hour timeframe (during business days).

### **Investigating the complaint**

Wherever possible, One Direction ANZ will work to investigate and resolve complaints within 5 business days. If this timeframe cannot be achieved; the complainant will be informed of the reasons why and an alternative timeframe for resolution agreed.

### **Resolving the complaint**

One Direction ANZ will take the appropriate action or refer the complaint to appropriate personnel / parties in order to gather information or evidence required to assist with a complaint resolution. One Direction ANZ will provide a verbal and written response to the complainant in relation to their complaint.

### **Record Keeping**

All complaints will be recorded in the HARPS complaints register. One Direction ANZ will use a 'Record of Complaint Form' to capture all information associated with the complaint. This form includes:

- The date the complaint was received

- The name of the complainant
- The Business or Trading Name
- Phone and email contact details
- Details of the complaint
- Any other parties involved
- Specific individuals involved
- Whether the complainant wished to have their complaint raised with other parties
- Communication to the other party
- The date of the response received from the other party as well as their detailed response
- The response to the complainant
- Other supporting communication
- Office use notes

Copies of all correspondence and other materials received by One Direction ANZ in connection with the complaint will be kept for 7 years. The complaints register and files will be confidential, with access restricted to One Direction ANZ as well as Hort Innovation (on request).

A summary of complaints received will be provided to Hort Innovation in line with the requirements of the HARPS Management Agreement with One Direction ANZ.

#### **Related Policies and Procedures**

- HARPS Scheme Rules
- HARPS Privacy Policy
- Witness Audit Protocol for Certification Bodies

#### **Forms**

- HARPS Enquiry Form
- HARPS Complaints Register
- HARPS – Records of Complaints Form