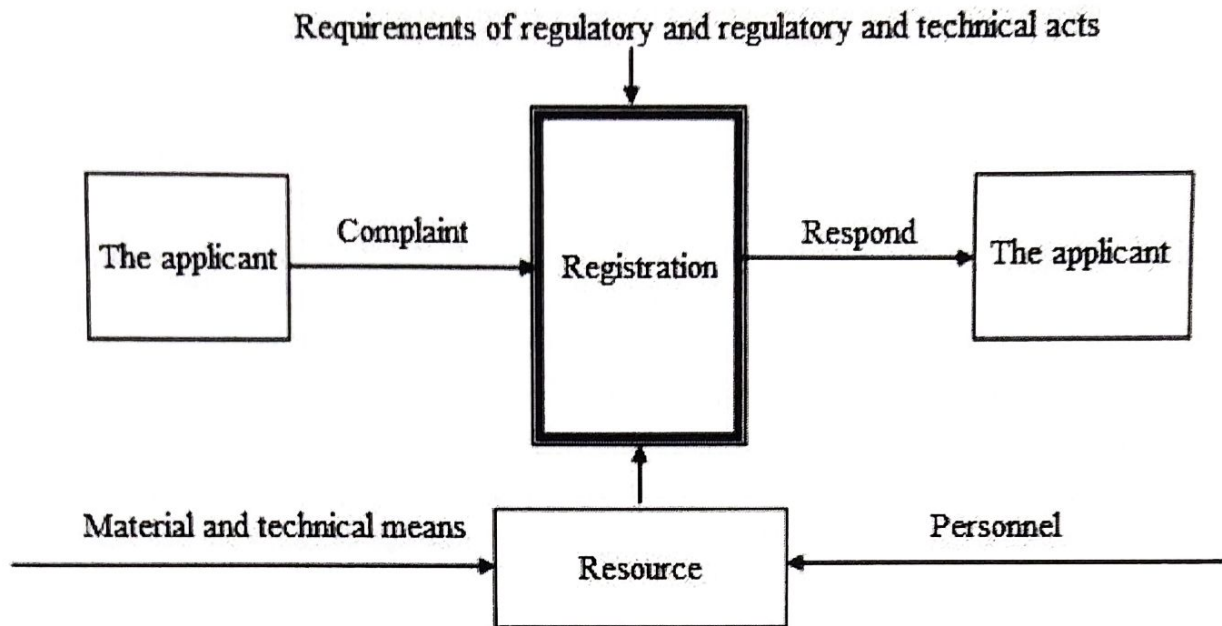


4. Process description

The structural diagram of the definition and classification of complaints, as well as the mechanism (process) for considering complaints, are given in Appendix 1 to these Instructions.

Complaints process model



4.1 Complaints process

4.1.1 The complaints process includes the following steps:

- receiving a complaint;
- registration of a complaint;
- processing (consideration) of the complaint;
- corrective and/or preventive actions (if necessary), according to the PHACCP procedure 07 "Correction and corrective actions".
- conclusions and responses/reactions;
- documenting the complaint review process and archiving documents;
- further observation and analysis

4.2 Receiving complaints

The complainant may file a complaint in one of the following ways:

- orally/in person – directly to the grievance mechanism committee or to representatives of the gender committee, or to the manager/director;
- a written complaint submitted either to the grievance mechanism committee, or to representatives of the gender committee, or to the manager/director;
- using the anonymous box for complaints and suggestions;
- by sending an email to: info@polus.ua (in this case, the applicant's data may be made public, and a complaint form can also be filled out, which may be anonymous);
- by calling or sending a message to +380504684677 (Viber, WhatsApp, Telegram), or by calling +380504684677;
- by mail to the address: Favorito LLC, 11 Pashchenkovska St., Kharkiv, 61017, Ukraine

A complaint may be filed anonymously or the individual may request that personal information be kept confidential. In such cases, the committee shall treat the complainant and investigate the situation without disclosing personal information. If investigation or remediation is not possible without disclosing some personal information, the complainant's consent shall be obtained. If consent is not obtained, the committee shall attempt to complete the process without the necessary information.

4.3 Registration of complaints

4.3.1 Register complaints in «"Logs for registering complaints and suggestions received from employees of the enterprise" and "Logs for recording complaints and claims"(P.5.2 PNASSR 12);

4.3.2 All complaints received by the company, as well as complaints that were expressed orally, for example, by telephone, are subject to registration;

4.3.3. Appeals received by the enterprise may be classified by the manager as complaints by writing an appropriate resolution on an incoming letter or memo regarding the receipt of a potential complaint orally.

4.4 Complaints handling

4.4.1 If the issue raised in the complaint concerns "harm to health", the Committee shall consider it immediately, with notification of the critical complaint to the owner and manager of the enterprise. The complainant, if not anonymous, shall also be contacted immediately, informing that the Committee is working on the complaint and, if necessary, medical assistance may be offered;

4.4.2 If the issue raised in the complaint concerns the quality and safety of the product, the Committee shall consider it within no more than 2 days. After 2 days, the applicant shall be informed about the resolution of the problem or the extension of the consideration;

4.4.3 If the issue raised in the complaint concerns the quality of service, the Committee shall consider it within no more than 10 days;

4.4.4 If the issues raised in the complaint are related to labor protection, production environment, working conditions, lack of necessary equipment, remuneration conditions, etc., the Committee shall consider it within no more than 10 days;

4.4.5 If the complaint concerns a human rights violation, the committee should follow the company's grievance procedure. If the case is serious, an investigation is mandatory. Also, cases that potentially violate criminal law may be referred to the police or other relevant authorities for criminal investigation. The committee should review all the data and determine the level of seriousness within 1-2 days. The complainant should be informed of the results of the investigation and the further action to be taken.

4.4.6 Appeals, complaints, and claims are considered as soon as possible, but no more than 30 calendar days from the date of their receipt;

4.4.7 If the issues raised in the appeal, complaint, or claim do not fall within the authority of the enterprise (institution, organization), such an appeal, complaint,

or claim shall be forwarded to the appropriate authority or official within 5 business days from the date of its receipt, and the applicant shall be notified thereof;

4.4.8 If the application, complaint, or claim does not contain the factual data necessary to make a reasoned decision, the responsible unit, within no more than 3 calendar days from the moment of receipt at the enterprise (institution, organization), clarifies the information from the applicant in accordance with the procedure established by law.

If the applicant refuses to provide such information, the enterprise (institution, organization) provides an explanation based on the available information.

4.5 Complaints handling

4.5.1 After receiving a complaint with the relevant resolution of the head of the enterprise, the chairman of the Complaints Committee issues an instruction to the secretary of the Committee to convene a meeting of the Committee.

4.5.2 Before further considering a complaint, the Committee confirms that the complaint concerns the activities of the enterprise.

4.5.3 The Committee shall review the complaint materials, analyze, verify the facts set forth in the complaint, and, if necessary, collect additional materials on the issues raised in the complaint. Based on the results of the analysis of the complaint materials, the Committee shall necessarily draw a conclusion on the validity or unfoundedness of the complaint, which shall be reflected in the relevant minutes of the commission meeting.

4.5.4 The Committee, having considered the complaint, may decide:

- on satisfaction of the complaint (in whole or in part);
- about the refusal to satisfy the complaint.

4.5.5 A decision to reject a complaint is made in cases where:

- a) The essence of the issue raised is not stated;
- b) Received from a person recognized as incapacitated.

4.5.6 Decisions shall be made by a simple majority of the votes of the Committee members present.

4.5.7 Decisions and conclusions adopted at Committee meetings are recorded in minutes, which are kept by the Committee secretary.

4.5.8 The Committee, based on the results of considering the complaint and reviewing all materials collected on the complaint, prepares:

- minutes of the Committee meeting, drawn up in accordance with the norms of current legislation, safety management system documents, legislative acts on labor protection and the environment, etc.;
- a draft response to the applicant on the issues raised in the complaint (if the complaint does not require long-term consideration).

4.5.9 The draft response with all available documents is provided to the head of the enterprise for a final decision.

4.6 Actions based on the results of complaints

After making a final decision on the complaint, if necessary, the Committee may recommend to the management of the enterprise, in accordance with the

established procedure, to make changes to the current safety management system and/or take measures necessary to eliminate the non-compliant work or process and their consequences.

4.7 Development of a remediation plan

The remediation plan should include actions to be taken to correct the situation and to prevent recurrence. The committee should work with experts, relevant third parties, the complainant or affected parties to develop a corrective action plan.

The committee should ensure that the responsible persons implement the corrective actions according to the plan and without delay. Progress monitoring should be documented and communicated to the complainant. The committee should also monitor the actual effectiveness of the plan and, if necessary, take corrective actions to ensure that the root causes are eliminated. At each stage of implementation, the committee should check whether the complainant is satisfied with the result. In the case of an anonymous complaint, progress can be reported publicly, but taking into account the confidentiality of the complainant and without exposing him to any risk.

4.8 Documenting the complaints process and archiving documents

4.8.1 The complaints process shall be documented by the Committee by keeping appropriate minutes of the Committee meeting. Proper keeping of the minutes shall be the responsibility of the Secretary of the Committee.

4.8.2 Documentation on the consideration of complaints is stored at the enterprise in accordance with the established period (at least 4 years).

4.8.3 The Secretary of the Committee is responsible for preserving the Committee's documentation (meeting minutes, materials related to the consideration of complaints).

4.9 Notification to the complainant of the results of the complaint processing

4.9.1 Within a few days (see paragraph 4.3) from the date of the decision on the complaint, the applicant shall be notified of this by the most convenient means for him (telephone call, official letter to e-mail address or by mail, etc.). Drafting a response letter to the applicant is the responsibility of the Secretary of the Committee.

4.9.2 The response should contain references to regulatory acts (including those on quality issues) and/or to the safety management system; to regulatory acts on health protection, environmental protection (ecology), etc.

4.10 Follow-up and analysis

After completing the plan and reviewing the complaint, the Committee should review the entire process and verify the following within the next 3 months:

- were the procedures clearly followed?;
- interview and get feedback from each party involved in the process;
- did the complaint help the company improve?;

-have the root causes been properly identified and a recurrence prevented?
Findings should be documented and files of each complaint should be kept confidential.

5 Responsible for the functioning of the process

The Chairman of the Complaints Mechanism Committee is responsible for the functioning of the process. The Secretary of the Committee is responsible for maintaining the Committee's documentation (meeting minutes, materials related to the consideration of complaints).

6 References

6.1 PHACCP 07 "Correction and corrective actions"

6.2 Regulations on ensuring an effective mechanism for reviewing complaints from employees and external stakeholders and continuous improvement at the confectionery factory "FAVORITO" LLC

Developed by:

Head of the laboratory



Victoria FEDOROVA