IMO Control Private Limited

IMO IN I 4.5.3 Complaints & Appeals Procedures

IMO IN is committed to a timely and effective resolution of complaints and appeals in order to safeguard its credibility and constantly augment the confidence in its activities.

This document describes IMO IN's procedures to receive and resolve complaints and appeals as well as to record and track the same according to the requirements of the standards under which IMO IN offers its certification services. This document is made available to the public on IMO IN's website.

A. Complaints Procedures:

- Any expression of dissatisfaction about the compliance of certified products, concerned operators & practices, claims, etc., to the applicable standards may be communicated directly to IMO IN or to any employee of IMO IN, verbally or in writing. Written expressions as well as summaries of verbal expressions will be immediately forwarded by the concerned IMO IN recipients to the designated persons in IMO IN.

- Whenever the received information is not complete or sufficient, the designated persons from IMO IN will immediately write to the complainant to obtain the required information in order to assess, within 10 days of receipt, whether the complaint falls within the scope of IMO IN's activities. Failure by a complainant to provide sufficient information on the matter of dissatisfaction may be considered to be non-cooperation and it may be potentially rejected.

- IMO IN will ensure confidentiality of the complainant unless the complainant authorizes IMO IN to share the information or the complainant publicly shares the information.

- Whenever a complaint is clearly within the scope of the activities of IMO IN and sufficient information has been provided by the complainant to investigate the matter of dissatisfaction, the complaint will be acknowledged within 15 days of receipt, information provided about the next steps in the process and when the outcome can be expected.

- The designated personnel of IMO IN will gather and verify all necessary information to resolve the complaint.

- The decision to resolve the complaint will be made by IMO IN persons who were not involved in the concerned audit & certification activities, from application review till certification decision, and who do not have any conflict of interests with the concerned operator.

- Whenever possible, IMO IN will provide a formal notice of the outcome and the end of the complaint process to the complainant within 60 days of receipt of the complaint.

- IMO IN will provide the complainant with a summary of the outcome of the process when the complaint is resolved. Whenever the complainant's contact information has not been provided for receiving the outcome of the process, then IMO IN will document the absense of the complainant's contact address.

- Commercial or proprietary information of the investigated operators will not be divulged in any public document about the complaints without the written consent of the concerned operators. However, IMO IN may publish public summaries of its investigations when required.

- The complete details from the reception till the resolution of a complaint are documented by IMO IN. The details will include the date the complaint is received, the name and contact information

of the complainant (if provided), the nature of the complaint, the evidence, the name of the operator involved, the actions taken to investigate the complaint, the findings of the investigation and the decision made to resolve the complaint.

- The complete details of all complaints will be regularly reviewed by the management of IMO IN and the necessary adjustments made to IMO IN's certification systems and processes.

- All the complaints received and resolved by IMO IN will be reviewed annually by the independent CSP (Committee of Significantly concerned Parties).

- Complaints may be sent to
  IMO CONTROL PRIVATE LIMITED
  No.3627, 7th Cross, 13th 'G' Main,
  H.A.L. 2nd Stage, Bangalore - 560 008, India

  Tel: 0091-80-2528 5883, 2520 1546 and 2521 5780, Mobile: +91 94820 25802
  Email: imo@imocontrol.in whistleblower@imocontrol.in

B. Appeals Procedure:

- All IMO IN operators have the right to appeal their certification decisions by IMO IN. They are informed about the right to appeal in the 'Contract for Inspection and Certification (IMO IN I 4.2.5)' as well as in the 'Certification Decision Letter'.

- IMO IN operators are permitted to appeal their certification decisions by IMO IN within 30 days from the date of receipt of the decision.

- The scope of appeals will be restricted to any combination of the following:
  Interpretation of the standard based on the evidence available during the audit; Evaluation of relevant evidence that the audited operator believes the auditor or audit team intentionally or unintentionally did not consider during the audit; or Possible infractions or violations of the requirements of IMO IN audit and certification procedures, or conflicts of interest or other ethical issues on the part of the auditor or audit team or IMO IN.

- The concerned operators can submit additional evidence during the appeals process if and only if the auditor or audit team had access to this evidence during the audit process. Additional evidence of compliance that was not available during the audit, or that was the result of improvements made since the audit, cannot be considered as part of an appeal.

- If an operator's appeal is upheld, IMO IN will revise the original certification decision to reflect the new certification decision. If the appeal is not upheld, the certificate status remains unchanged.

- The decision to resolve the appeal will be made by IMO IN persons who were not involved in the concerned audit & certification activities, from application review till certification decision, and who do not have any conflict of interests with the appellant.

- IMO IN will provide a formal notice of the outcome and the end of the appeal process to the appellant within 60 days of receipt of the appeal.

- In case the operator is not satisfied with IMO IN's appeals process, they will be informed that they may escalate the matter to the concerned accreditation body.

- IMO IN will maintain records of appeal processes that include the dates that appeals are received, the nature of the appeal, the details of the decisions made and the dates of the decisions & their communication to the audited operators.

- The complete details of all appeals will be regularly reviewed by the management of IMO IN and the necessary adjustments made to IMO IN's certification systems and processes.

- All the appeals received and resolved by IMO IN will be reviewed annually by the independent CSP (Committee of Significantly concerned Parties).