IMO Control Private Limited

IMO IN I 4.5.6 Complaints & Appeals Procedures-RA Certification Program

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

This document describes the IMO IN procedures to receive and resolve complaints and appeals as well as to record and track the same according to the requirements of Rainforest Alliance (RA) Standards. This document is made available to the public on IMO IN's website.

A. Complaints Procedure

1. Complaints have to be submitted in writing with the name & contact details of the complainant and sufficient information related to the matter of dissatisfaction.

2. IMO IN will receive complaints submitted in English or in an official language of the country of location of the active certificate related to the complaint.

3. The complaints have to 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
   Email: imo@imocontrol.in

4. Complaints may be submitted to the IMO IN auditors at any time during the audit process.

5. Complaints submitted on behalf of a group, such as a community or labour organization, should have at least one viable contact person to manage communications and further inquiries.

6. IMO IN will follow-up on specific complaints as requested by the Rainforest Alliance.

7. Anonymous complaints will only be considered if there is sufficient preliminary information or evidence.

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

9. Commercial or intellectual proprietary information about the investigated certificate holder will not be divulged in any public documents about the complaint without the written consent of the operation. However, the Rainforest Alliance will publish public summaries of Investigation Audits.

10. If the complaint is clearly within the scope of the activities certified by IMO IN, the complainant will receive an acknowledgement within 10 calendar days. They will be provided with information about the next steps in the process and when they can expect an outcome.

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

12. The decision regarding the complaints will be made by IMO IN persons who were not involved in the concerned certification activities and who do not have any conflict of interests.

13. IMO IN will keep the complainants informed of major findings and provide them with a summary of the outcome of the process, according to the Rules for Certification Bodies.

14. IMO IN will resolve the complaint and communicate the results within 30 calendar days. When additional time is required, RA will be informed in a timely manner.

15. All the details of the complaints and their resolution will be documented by IMO IN as per the Rules for Certification Bodies.

B. Appeals Procedure

1. All IMO IN certified operations have the right to appeal their certification decisions by IMO IN. Appeals will be reviewed by two persons who did not participate in the audit or in the decision-making process related to the certification, who do not have any conflicts of interest related to the operation and who shall have a level of lead auditor for the specific certification scope.

2. IMO IN will not resolve appeals by changing the certificate scope in order to eliminate a problem in the scope of the certification granted.

3. Organizations will maintain their pre-decision certification status during an appeal process.

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

5. Audited operations can submit additional evidence during the appeals process if, and only if, the 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.

6. Organizations are permitted to continue selling certified product during an appeal process.

7. IMO IN will resolve an appeal and communicate the results within 30 calendar days. The details will be updated in the MultiTrace system.

8. The appeal resolution procedures will be invoiced at the same rate as the applicable audit and certification procedures.

9. When an appeal is resolved in favour of the operation, the original audit report will be revised to reflect the new certification decision and uploaded in the MultiTrace system.

10. All the details of the appeals and their resolution will be documented by IMO IN as per the Rules for Certification Bodies. These records will be made available to Rainforest Alliance upon request.

11. When the operation is not satisfied with the resolution of their appeal, they may escalate their case to the Rainforest Alliance through the RA grievance procedure.