

ADITI Policy on Handling of Appeals and Complaints

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| 1 | Aims | This procedure establishes the system for handling complaints and appeals associated with the certification system. |
| 2 | Background | <p>a) As an operator, customer, worker or any third party who wants to indicate that one of ADITI's certified operators is in breach with the NOP, NPOP, COS's or any voluntary certification scheme (VCSMPP, INDGAP) requirements and responses to the quality of services rendered by ADITI, Complaint becomes evident.</p> <p>b) If anyone disagrees with ADITI's certification decisions, this type of appeal becomes evident.</p> |
| 3 | Normative framework | <p>3.1 NPOP</p> <p>Chapter 4 Accreditation of Certification Bodies</p> <p>4.2.3 Quality System</p> <p>(iv) The Certification Body shall follow a quality management system based on the policies and procedures laid down in the form of a Quality Manual and an Operating Manual. The quality manual shall, inter alia, include the following:</p> <ul style="list-style-type: none"> • the policy and procedures for dealing with complaints, appeals and disputes. <p>4.4 Certification</p> <p>4.4.7 Certified operators</p> <p>4.4.7.1 Information to the Operators The accredited Certification Bodies shall ensure that each certified operator shall be provided at the time of application:</p> <ul style="list-style-type: none"> • An adequate description of the procedure for inspection, certification and appeals. <p>4.4.7.3 Complaints record</p> <p>The accredited Certification Body shall have policies and procedures for dealing with complaints against its operation and against certified operators. It shall keep a record of all complaints and remedial actions relating to certification. When a complaint is resolved a documented resolution shall be made and forwarded to the complainant and the party concerned.</p> <p>4.4.7.4 Appeals record</p> <p>The Accredited Certification Body shall have procedures for the consideration of appeals against its decisions and shall maintain the record of all appeals.</p> <p>4.5 Accreditation procedure</p> <p>4.5.13 Complaints</p> <p>i) APEDA on receipt of complaints against the operator / Certification Body in respect of violation of NPOP shall investigate the complaint by obtaining relevant documents from the concerned stakeholder.</p> <p>ii).In course of the investigation, if major irregularities/non conformities are observed, APEDA shall issue a show cause notice to the operator / Certification Body as to why sanction should not be imposed.</p> <p>iii). The operator / Certification Body shall have to respond within 15 days from the date of receipt of such Show Cause Notice.</p> <p>iv). Thereafter, a final investigation report shall be prepared by APEDA and placed before the NAB for its decision.</p> |

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| | | <p>v). If the non conformities are confirmed against the operator / Certification Body, NAB shall impose appropriate sanction.</p> <p>3.2 COR</p> <p>C.2.4.2 The CB shall issue a written notice of denial of certification to any applicant to whom it denies certification, either because operations resulting in the products included in the application are still noncompliant with requirements or simply because the applicant did not respond to the notification of noncompliance. This notice shall state the reason(s) for denial and the applicant's right to:</p> <ul style="list-style-type: none"> • file an appeal of the denial with the CB <p>C.4 Complaint and appeal</p> <p>C.4.1 The CB shall document procedures to ensure that it deals with the complaints and appeal by applicant, certificate holder or other party pertaining to certification in accordance with the requirements specified in ISO 17065.</p> <p>C.4.2 The CB documented procedures shall deal with, as a minimum:</p> <p>C.4.2.1 appeal related to certification decisions</p> <p>C.4.2.2 complaints from holders of certificates regarding the CB's program application.</p> <p>C.4.2.3 complaints from outside persons or organizations about the CB's operation.</p> <p>C 4.3 The CB shall communicate the next steps to the certificate holder in case the holder is not satisfied with the CB appeal process. The certificate holder can submit a complaint against the CB to the CVB responsible for the oversight of the CB.</p> <p>COR-Appendix D: and the Quality Manual Section 2.7.9</p> <p>Additional Information</p> <p>Under the SFCR the CBs are required to have an appeal process in line with ISO/IEC17065 and the operator has to be informed about this process when notified about cancellation. This process is considered compliant with the SFCR requirement for "opportunity to be heard".</p> <p>3.3 NOP:</p> <p>§205.681 Appeals.</p> <p>(a) Certification appeals. An applicant for certification may appeal a certifying agent's notice of denial of certification, and a certified operation may appeal a certifying agent's notification of proposed suspension or revocation of certification to the Administrator, Except, That, when the applicant or certified operation is subject to an approved State organic program the appeal must be made to the State organic program which will carry out the appeal pursuant to the State organic program's appeal procedures approved by the Secretary.</p> <p>(1) If the Administrator or State organic program sustains a certification applicant's or certified operation's appeal of a certifying agent's decision, the applicant will be issued organic certification, or a certified operation will continue its certification, as applicable to the operation. The act of sustaining the</p> |
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| | | <p>appeal shall not be an adverse action subject to appeal by the affected certifying agent.</p> <p>(2) If the Administrator or State organic program denies an appeal, a formal administrative proceeding will be initiated to deny, suspend, or revoke the certification. Such proceeding shall be conducted pursuant to the U.S. Department of Agriculture's Uniform Rules of Practice, 7 CFR part 1, subpart H, or the State organic program's rules of procedure.</p> |
| 4 | Terms | <p>In order to ensure objectivity and to guarantee examination of all relevant information with regard to any complaint or appeal taken, members that were not involved in the case are opted to resolve them. The decision resolving the complaint or appeal shall be made by, or reviewed and approved by, person(s) not involved in the certification activities related to the complaint or appeal. Moreover, ensuring confidentiality in every case and protection of identities of the personnel involved are also necessary.</p> |
| 5 | Policy | <p>5.1 Procedure on handling of Appeals:</p> <p>Appeal is a request by a client for reconsidering of any adverse decision made by ADITI related to its desired certification status.</p> <ul style="list-style-type: none"> • Appeal can be filed by any person or organisation on the following reasons: <ol style="list-style-type: none"> 1. Refusal to accept an application. 2. Decisions to denial of certification. 3. Decision on cancellation a certification. • Any person or organisation can file an appeal against the decision of ADITI to the Certification Manager. The appeal must be filed in writing within thirty (30) days of the decision of the ADITI along with all the necessary documents in support of the appeal. • The General management (GM) representative will be usually involve in verification of the documents for completeness and may ask for additional documentary support if necessary. Once documents are complete, the GM representative acknowledges the receipt of the appeal, and then it shall be registered in the appeal register. The GM representative has the right to either disallow the appeal or address it or to consult the Advisory Board (AB) based on the merit of the contents of appeal. • The Advisory Board may ask any of the staff, inspectors, and group for the facts to help in discharging the appeal based on facts. • The GM will give the decision on the appeal based on the investigation findings. If GM is not able to address the appeal, AB is involved, and their recommendation is final to address the appeal. In general, the correction and corrective action shall be taken accordingly. • The progress of investigation and the outcome shall be informed to the appellant to the extent required. A formal notice of the completion of the appeal handling process shall be sent to the appellant. In case the appealant is not satisfied with the ADITI appeal process, he/she can submit a complaint against the ADITI to the CVB responsible for the oversight of the ADITI. |

- During the appeal process it is ensured that the submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.
- GM representative will follow each appeal to conclusion and initiate possible preventive actions if any. Effectiveness of such actions would be assessed and reported in the Management review meetings.

5.2 Procedure on handling of complaints:

Complaint is an expression of dissatisfaction, other than appeal, by any person or organization, to ADITI relating to its activities where a response is expected.

- Complaint can be made by any person or organization against the following
 1. ADITI's operation and/or procedure.
 2. The auditor, expert, Certification Committee or staff of ADITI.
 3. Process of auditing by the auditor
 4. Misuse of certification status either in the scope or in the logo.
- The complaint must be made in writing to ADITI with complete details of the complainant (Name, Address, Organisation, etc.) and description of the problem. General management will acknowledge the complaint within ten days (excluding postal time) with a brief detail on the approach and approximate time required for addressing the complaint. Complaint is received by the administrative team and forwarded to the Certification Manager/Quality Manager, if it has been directed via ADITI website.
- If the complaint has no details of the complainant or the description is not adequate, ADITI shall reserve the right of detailing the complaint as deemed unfit.
- On receipt of the complaint ADITI will examine whether the complaint relates to its certification activity. If ADITI is responsible for the complaint, then it shall register in the complaint record and shall deal with it appropriately. Depending on the nature of the complaint a time frame will be decided between ADITI and the complainant. This will be recorded in the complaint register.
- Certification Manager/Quality Manager initiates a detailed investigation. An independent review team not previously involved in the subject of the complaint is assigned to conduct the investigation. The investigation shall include the following:
 1. Identify the cause of the problem and record corrective actions.
 2. Review of pertinent data.
 3. Unannounced inspection to the concerned unit/operation to investigate the matter (if need arises)
 4. Interviews with audit team members, as appropriate.
 5. Interviews with client's personnel, as appropriate.
- The investigation team will report its findings to GM along with its recommendation for the disposal of the complaint.
- ADITI shall provide the outcome of the investigation done on the complaint and ensures the complainant's satisfaction on the closing of the complaint.

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| | | <ul style="list-style-type: none"> If a complainant is dissatisfied with the outcome of ADITI's complaints handling process, the complainant may refer the complaint to Accreditation Body (AB). Complaints that are not closed out within a timeframe documented and agreed with the complainant shall be escalated to Advisory Board of ADITI to ensure that the complaint receives the appropriate priority. Complaints that are not closed out within 3 months of that agreed timeframe shall be brought to the attention of AB. In general, the correction and corrective action shall be taken accordingly. Certification manager/Quality manager will follow each complaint to conclusion and initiate possible preventive actions if any. Effectiveness of such actions would be assessed and reported in the Management review meetings. |
| 6 | Access to this policy | <ul style="list-style-type: none"> This policy is available to all interested public It must be handed out to all ADITI certification and inspection personnel. |
| 7 | Related Documents | <ul style="list-style-type: none"> Contract of Certification (7.2.1 Form) Appeal record (2.3.3 Form) Complaint Record (2.3.2. Form) |

Revision history:

| Revision date | Version | Description of Changes |
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| 18.06.20 | 02 | <p>The entire document is updated to fulfill the requirements of ISO 17065:2012. Section 5 has been modified to include differences between Complaints and Appeals and how to address the same.</p> <p>Appeal Record (2.3.3 form) has been included in section 7 and WI 2.3.1 is removed and is to be archived.</p> |
| 01.10.20 | 03 | <p>Background- section Sentence b) is updated.</p> <p>Section 5.1 "Appeal can be filed by any person.....reasons" are updated.</p> <p>Personnel who will be handling Appeal has been updated.</p> <p>Page 2 "The progress of investigation and the outcome shall be ..." is updated.</p> |