



GRIEVANCE PROCEDURE - COMPLAINTS AND APPEALS

The 3E® by RGC sustainability scheme includes a complaints and appeals procedure that is available to all supply chain stakeholders who is actively participating in the RGC 3E® scheme application process or to any supply chain stakeholder who wishes to raise a complaint against a stakeholder participating in the scheme, be it a producer, an exporter company or an evaluator of the process.

Complaints should be strictly related to the context of the 3E® by RGC sustainability scheme, regarding the implementation of the scheme on farms or exporters, details of the process performed by internal or external evaluators, treatment during the evaluation process, conflicts of interest or concerns about the confidentiality of the process. In addition, cases of corruption and bribery that have been identified can also be reported through this mechanism.

Appeals can be submitted when the participating stakeholder disagrees or feeling discontent with decision in the context of the scheme's performance, including the final conclusion on the overall result to recognize or not a supply chain, recognition's suspension or withdrawal of a supplier at the farm, producer organization, collector or exporter company level or on specific ratings of the scheme's indicators.

1. PROCEDURE TO FILLING A COMPLAINT OR APPEAL.

All complaints and appeals related to context of the 3E® by RGC Sustainability scheme must be submitted via email or in written form, providing all elements related to the complaint, mentioning the details and origin of the situation to be complained about, a reasonable justification and supporting evidence. It must be mentioned if the complaint has been previously tried to be solved through a direct channel or the reasons why this step could not be carried out.

Also, when submitting the request, the report should state whether it is a complaint or appeal, indicating the name of the person who is filling the report, their organization and whether they intend to remain anonymous.

Complaints can be submitted in English or Spanish, using the form (annex 1) defined at the end of this document and attaching it to the email certifications@rgccoffee.com or sending it by physical mail to the offices in Bogota-Colombia, at Calle 72 # 7-64 office 702 or to the offices in Montreal-Canada, at 1330 Greene Ave, Westmount, Quebec H3Z 2B1, Canada.



2. RESOLUTION PROCESS

Once the complaint or appeal is received, the 3E[®] by RGC Committee will oversee and reviewing that the content of the report, which must comply with the parameters mentioned in the "Procedure for registering a complaint or appeal", is eligible or not, in case the report the complaint or appeal will not be processed.

Complaints and appeals will not be processed if it meets one or more of the following parameters:

- The form and content are unclear.
- There is no objective evidence or proof attached.
- The request is based on unsubstantiated hearsay.
- The complaint or appeal is intended to modify the sanctions or cancellations stated for a violation of the requirements defined by the RGC 3E[®] sustainability scheme protocol.
- The complaint or appeal is not related to the RGC 3E[®] sustainability scheme.

Within 10 working days of receipt of the request, the responsible of raise the complaint or appeal will be informed of the receipt of their request and whether it is accepted to proceed with further investigation as described in this document.

Complaints and appeals will be processed by the RGC 3E[®] Committee, which will open the investigation of the case, provided there is no conflict of interest. In the event of a conflict of interest with any of the parties, the member of the Committee who has a conflict of interest shall declare that he/she is not allowed to proceed with the investigation and shall be removed from the case.

The RGC 3E[®] Committee will proceed by contacting the parties involved and affected, to request evidence, documentation and/or statements in order to obtain a sufficient understanding of the situation, allowing the committee to find the further actions to be taken. The parties affected by the report will also have 10 working days to provide any additional evidence required in the case. Likewise, the RGC 3E[®] Committee will be free to assign external personnel in case field visits are required to expand the investigation.

Considering that the purpose of the procedure is to resolve the request as soon as possible, if it becomes evident that the process will take longer than stipulated, the RGC 3E[®] Committee reserves the right to extend the period for decision making and this will be duly communicated to the complainant and other interested parties.

The RGC 3E[®] Committee will have 30 working days after the receipt of evidence to fully analyze the case and resolve the requirement in a timely manner, trying first to generate a mutually agreed solution between the parties or otherwise unilaterally decide a solution, which will be informed in writing, including the reasons, to the interested parties. These



requirements will be filed and reviewed once a year to consider improvements for the 3E[®] by RGC scheme.

All parties involved in the complaint will also have the right to appeal against first decision within 30 working days after decision communication is made by the committee.

3. ROLES OF THE RGC 3E[®] COMMITTEE IN RESOLVING GRIEVANCES AND APPEALS

Position	Responsibility
Corporate Compliance coordinator	<ul style="list-style-type: none"> - Respond to the acknowledgement of receipt of complaints and appeals that are received at certifications@rgccoffee.com and/or physical mail. - Ensure that the complaint/appeal form is properly completed and verify whether the appeal is approved or not. - Initiate the necessary investigations to resolve complaints and communicate the results of these investigations. - Ensure that the steps outlined in this procedure are followed. - Review the annual complaint log and recommend necessary improvements. - Meet with the RGC 3E[®] Committee to improve the actions of this procedure and the RGC 3E[®] scheme in general.
RGC 3E [®] Committee (Comprised by Jonathan Gabbay – Management representative, Sustainability Director: Angela Maria Pelaez, Agronomist leader: Andres Acevedo, Field Project coordinator: Ana María Agudelo y RGC 3E [®] Corporate Compliance Officer: Lina Lozano)	<ul style="list-style-type: none"> - Reviewing the results of the investigation and making decisions on appeals filed. - Acting on behalf of the corporate affairs coordination in case of conflict of interest. - Attend meetings convened and contribute improvements to this process.

Table 7: Appeals and grievances: Roles of the RGC 3E[®] Committee.

Second party assessments are conducted by the RGC sustainability team and can be carried out remotely or on-site depending on the case as indicated in section 10.1 of this document. If a third-party assessment is required, the costs incurred for hiring an independent assessment firm will be covered by RGC.



ANNEX 1: COMPLAINTS AND APPEALS FORM

In order to facilitate the submission of formal complaints and grievances related to the context of the 3E® by RGC sustainability scheme, you must complete the parameters:

- The form must be completed in English or Spanish.
- All fields need to be filled in.
- The appeal must be accompanied by objective evidence.
- Once the form is completed, it must be sent by e-mail to certificaciones@rgccoffee.com or by post to either of these two addresses:

1- To RGC Americas at Calle 72 # 7-64 office 702, Bogotá Colombia.

2- To RGC Coffee at 1330 Greene Ave, Westmount, Quebec H3Z 2B1, Montreal Canada.

DATE RECEIVED	
FULL NAME	
EMAIL	
CONTACT PHONE	
COMPANY/ORGANIZATION	
ANONYMOUS STATEMENT:	(indicate YES/NO)
TYPE OF REPORT	Complaint / Appeal
SUMMARY NATURE OF COMPLAINT	
DETAILS OF COMPLAINT / APPEAL	
ENCLOSE EVIDENCE	LIST OF DOCUMENTS
DECLARATION OF ANY POTENTIAL CONFLICT OF INTEREST	