



Document Title: procedure Manual

Document number: PM010

Title: Appeals

Introduction: An appeal is the ultimate means by which an Assure Quality Management Certification Services Pvt. Ltd. client or other affected party can request the independent review of an Assure Quality Management Certification Services Pvt. Ltd. decision taken in the process of certification/registration. In addition the Complaint against the Chief Executive shall be dealt as per this procedure.

The process may be initiated with regard to any decision made on behalf of Assure Quality Management Certification Services Pvt. Ltd. which cannot be resolved through other channels.

This procedure covers the overall Appeal process and reference is available in contract & scheme of registration (A0004 of current version) for interested party information.

Procedure:

Appeal Handling Process

The Chief Executive of Assure Quality Management Certification Services Pvt. Ltd. is responsible for all decisions at all levels of the appeals handling process those are decided by the independent appeal panel. The persons engaged in the appeals-handling process are independent.

Communication

The Assure Quality Management Certification Services Pvt. Ltd. Applicant / Registered Clients are notified about the Appeal Procedure through its A004 during application process and also during closing meeting of the assessment.

Receipt

Appeal is required to be sent to Chief Executive in writing citing the clear reason that the Appellant does not agree with which recommendation of the Assure Quality Management Certification Services Pvt. Ltd. assessment personnel or relevant Certification decision.

The Chief Executive must ensure that he has understood the contents and made a clear note in –A-006.



Acknowledgement

The Chief Executive sends a formal acknowledgement to the Appellant within seven working days through e mail to the Appellant.

A-006 is updated upon acknowledgement.

Allocation

A-006 Appeal Progress form is filled with the details.

Chief Executive will hear the Appeal himself and may include any other independent person who can be any other Assessor or Technical Expert or an Advisory member. A-006 is updated with the allocation.

When Chief Executive is not independent to the appeal subject, will forward the Appeal with full details to the nominee. (The nominee can be Director). The Nominee in all the cases will be independent from the subject of Appeal.)

When Chief executive & Director are not independent to the appeal subject, Chief executive will forward the Appeal with full details in A-006 + written Appeal document to the Advisory Committee Chairperson. In such case Chief executive & Director will act as Assure Quality Management Certification Services Pvt. Ltd. secretariat to the Chairperson to facilitate him to appoint the nominee. (The nominee can be an Assessor or Technical Expert or any other Advisory Member or panel of members appointed by chairperson). The Nominee(s) in all the cases will be independent from the subject of Appeal.) A-006 will be updated with all allocations.

Action on Appeal

The nominee contacts (verbal and onsite where needed) the Appellant to:

- walk through the appeal subject, validate and collect the Objective evidences
- discuss and advise of next step and time scale
- investigates the subject (with all people against whom the appeal is raised) and reveal the truth with the Appellant and the subject. Where a visit to Appellant or Subject is required is made to complete the investigation. A written note is used for recording any facts gathered by the Nominee(s).
- Nominee report to Chairperson of Advisory Committee in writing to close the appeal within the 30 days period. An extension may be granted by the Chairperson only based on circumstantial evidences.



Closure

- The Chairperson invites Chief Executive and forwards his final decision to the Chief Executive for actions.
- Chief Executive completes A-006 and designates the duty of a person who was not involved in the subject of appeal to communicate the appellant about the final decisions made and writes a formal closure to Appellant including progress report & outcome of the corrections and corrective actions taken on the basis of investigation report submitted by person/panel who was not involves in subject.
- A-006 Appeal Progress form, Nominee(s) investigation facts, Chairperson's decision Sheet and closure letter are filed in the Appeal file.
- Appeal root cause and corrective action details are recorded with in A-006 and any changes in the documented System of Assure Quality Management Certification Services Pvt. Ltd is thoroughly assessed during Internal Audit and reviewed during Management Review for their effectiveness.

Finally Chief Executive will update the Progress on these issues to Chairperson through annual Advisory Committee Meetings including the Assure Quality Management Certification Services Pvt. Ltd. approach that Submission, investigation and decision on appeals have not resulted in any discriminatory actions against the appellant.