



PROCEDURE FOR APPEALS

1. PURPOSE

To lay down documented guidelines for handling and disposal of appeals received from our clients.

2. SCOPE

This procedure is applicable over all activities related to receipt, handling and disposal of appeals (Lodged by the client) against audit conclusion and decision of the audit team of GCQ Certifications India LLP.

3. RESPONSIBILITY

3.1 Compliance Manager is responsible for defining criteria for effectively handling the appeals.

3.2 Operation Manager is responsible for implementation of the procedure in handling all appeals.

4. AUTHORITY

This procedure is authorized by the CEO and can be amended only by him.

5. PROCEDURE

5.1 Definition:

Written Complaints raised by our clients regarding dissatisfaction of our assessment output is categorized as appeal.

5.2 Receipt of appeal:

Since this relates to our core process there is a separate provision in our website for lodging appeal. Appeal can also be made in writing to our office. As soon as any appeal is received acknowledgment to the client, promising appropriate action within 15 working days from GCQ. Record of all appeals is maintained at least for 4 years.

Ref: Record of appeals

5.3 All Appeals are reviewed by CEO and COO.

5.4 Investigation of Appeal: CEO looks into appeals, and as per situation one or more of the following actions is taken –

- I. Documentary evidence is requested from the client in support of their claim.
- II. Another auditor is deputed to conduct re-audit of those aspects which caused dispute and appeal.

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5.5 Monitoring and tracking of the Appeal handling process:

Being the ultimate authority, the CEO monitors and tracks action taken since receipt of the appeal, till closure of the process. It is ensured that persons involved in the dispute are not involved in making decisions related to the appeal. All cases of appeal and complaints are necessarily reviewed by the Management review meeting.

5.6 Correction & corrective action:

Based upon additional information received after investigation, from multiple sources, the appropriate decision is taken and it is documented, and the same is communicated to the client. Corrections and corrective actions are taken, if required.

5.7 Updating of appellant:

The appellant is kept updated with progress in appeal handling process. All appeals are resolved or closed within 15 days of registration. A formal appeal closure report is sent to the appellant stating all the actions taken, and final decision of the appeal handling authority.

5.8 The decision of the CEO is recorded in the Client's file.

In case the appellant is not satisfied with the decision of the Technical Manager, to remove any suspicion of bias, GCQ Certifications India LLP allows the appellant to put forward his/ her case to QCI next 15 days. If still not satisfied, then allows to forward FSSAI next 15 days.

Records of such references are also maintained in hard copy.

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