



GLOBUS CERTIFICATIONS PVT LTD PROCEDURE – HANDLING APPEALS

P-9.7, Issue 1, 01.01.2017

1. PURPOSE

To define a procedure to receive, evaluate and make decisions on appeals.

2. SCOPE

This procedure is applicable to the all certification activities of GLOBUS. It describes the systematic and consistent recording, evaluation and making decisions on appeals pertaining to certification activities including certificates, reports and other decisions taken by GLOBUS.

3. RESPONSIBILITY

Managing Director assisted by Technical Director.

4. PROCEDURE

4.1 A request by a client, his authorized representative or a responsible party, to GLOBUS for re-consideration of a decision GLOBUS has made related to the verification, validation or certification of that client is termed an Appeal.

4.2 GLOBUS shall be responsible for all the decisions at all levels of the appeals-handling process. It ensures that the persons engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions.

4.3 GLOBUS ensures that submission, investigation and decision on appeals does not result in any discriminatory actions against the appellant.

4.4 The appeals-handling process includes at-least the following elements and methods:

- a) an outline of the process for receiving, validating and investigating the appeal, and for deciding what actions need to be taken in response to it, taking into account the results of previous similar appeals;
- b) tracking and recording appeals, including actions undertaken to resolve them;
- c) ensuring that any appropriate correction and corrective action are taken.

S. No.	Process	Process details
	Receiving appeal	GLOBUS sends F-9.7 appeal form to the client to fill and send it back. A written or electronic acknowledgement is given to the appellant. The appeal received is then recorded in the Appeals Register, R-9.7 and is passed on to MD for review and evaluation.
	Evaluating appeal	MD reviews the appeal to ascertain its validity. If the appeal received is related to GLOBUS certification activities, the appellant is informed that the appeal is under review. If not, the appellant will be communicated to that effect.



GLOBUS CERTIFICATIONS PVT LTD PROCEDURE – HANDLING APPEALS

P-9.7, Issue 1, 01.01.2017

Investigating appeal	<p>MD with help of Technical Committee will investigate the appeal and it may include the following:</p> <ul style="list-style-type: none">a) Internal audit.b) Unscheduled audit of client.c) Interview with client or interested party.d) Interview with auditor concerned.e) Review of client file (and related job files) and related information. <p>Outcome of investigations will be submitted to MD to determine whether any action is required or not.</p>
Taking decision/actions	<p>Action required: a) GLOBUS takes required corrective actions, b) Client gets audit report if prepared and takes corrective action listed, which are verified for effectiveness of actions taken and respond to client/interested party.</p> <p>Action not required: Respond to client/interested party (when the nature of appeal is without merit).</p>

4.5 GLOBUS shall be responsible for gathering and verifying all necessary information to validate the appeal.

4.6 GLOBUS shall in addition to acknowledging receipt of the appeal provide the appellant with progress reports and the result on the appeal.

4.7 GLOBUS has established a time frame for taking decision on appeals as 60 to 90 days from the actual receipt of the appeal.

4.8 The decision to be communicated to the appellant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal.

4.10 GLOBUS shall give formal notice to the appellant of the end of the appeals-handling process.

4.11 Appeal records are reviewed by top management in its regular review meetings.

4.12 The appeals handling process is publicly available on the website of GLOBUS.

Document Amendment Record

Clause No.	Changes	Date of Issue



GLOBUS CERTIFICATIONS PVT LTD PROCEDURE – HANDLING APPEALS

P-9.7, Issue 1, 01.01.2017

Document Distribution Record

S. No.	Name of Person	Department	Controlled / Non-Controlled	Signature