	System Procedure "Appeal"		SP 17 Rev 01
	Controlled Version	Property of ICMQ India	

# System Procedure SP 17 Appeal

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India

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**Date**  
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## 1 Purpose & Scope

This procedure defines the methods used to document and follow-up on appeals made by interested parties (For e.g.: workers, trade unions, research institutions, NGOs, community organizations, Labour experts, clients etc.)

Any interested party may make an appeal against a decision of the HCB/HIB/HPCB regarding the non-issuance, suspension, revocation or non-concession of renewal of certification or Inspection.

Appeals must be sent within 30 days after the claimed decision is taken

## 2 Scope

This procedure governs the following services:

- Management systems certification (Quality, Environmental, Occupational Health and Safety)
- Inspection (Design verification; Technical control on site)
- Product Certification (all products)
- Building Certification
- Training

## 3 Reference Standard

- ISO 17021 Conformity assessment - Requirements for the bodies providing audit and certification of management systems
- ISO 17020 General criteria for the operation of various types of bodies performing inspection
- ISO Guide 65 General Requirements for bodies operating Product Certification systems

## 4 Responsibility

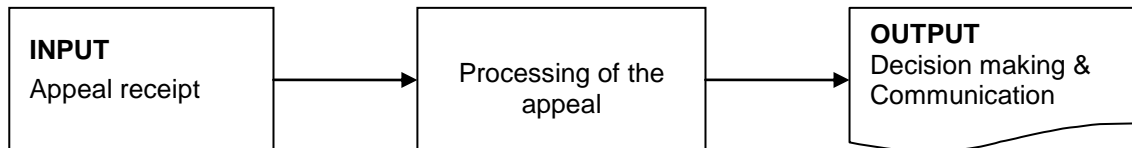
	Business Line Manager	HCB/HIB/HPC B	Managing Director	CSI (for Certif.)
Appeal reception and record	X			
Preliminary Examination		X		
File preparation	X			
Decision: presentation to CSI			X	
Appeal Examination and decision				X
Reply to organization			X	

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## 5 Process

General Terms and Conditions for certification schemes, inspection and training set rules regarding methods for appeal to solve any dispute that might arise between ICMQ and the companies.

Information included in this procedure is publicly available on the WEB site.



### 5.1 Receipt of appeal (putting together the file)

In the event that the appeal is made orally, the Company is requested to formalise it in writing.

Any Person or body can file appeal against the decision by ICMQ.

The appeal should be sent to:

- Head of Certification Body (HCB)** for any issues related to management system certification
- Head of Inspection Body (HIB)** for any issue related to third party inspection activity
- Head of Training** for any issue related to training activity.
- Head of Product Certification** for any issues related to product certification

After the appeal receipt, the Head of the service examines it and, supported by the Business Line Manager (BLM), organises a file with the useful documentation in its contents.

The Business Line Manager has the duty of identifying, as a preliminary measure, which actions are required and to submit them for further processing the appeal.

Once action to be taken have been agreed with the Management, the Business Line/Scheme Manager informs the Lead Auditor/Inspector/Faculty assigned to the company, where appropriate, or any other person who was involved and asks for a reasoned opinion in writing on the appeal in question.

In case of Certification, Auditors involved undertake to express their own opinion, if requested, and if necessary to attend the Certification Committee meetings for information control and to carry out an in-depth check.

The file, complete with the opinion of the Auditor assigned to the Company, must be ready within 1 month of receiving the appeal.


The Management Representative makes sure that any submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

### 5.2 Examination of the Appeal by Committee for safeguarding Impartiality

Appeal regarding Management System Certification must be notified to the Committee for Safeguarding the Impartiality only for the most relevant aspects of the certification process by sending in all the documents that was collected by the BLM to all the members of CSI vide email for their feedback. Feedbacks from each member is again compiled and resent to CSI members again in order to have a good and fair decision on the said appeal.

Appeals related to inspection, product certification and training process (appeal from the company) may be submitted to the Committee for Safeguarding Impartiality

If the Committee judges that are not available the elements required for taking a decision it may require more detailed information regarding the complaint, which is given by the BLM/Heads

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The Committee for Safeguarding Impartiality, during meetings shall analyse the effectiveness of actions taken by ICMQ

### 5.3 Decision

The CSI must reach a decision within 45 days from the date of receiving the appeal.

If the appeal is approved, the resulting measure must be used as a basis for appropriate corrective and/or preventive actions relating to ICMQ's operating method.

The Managing Director, in collaboration with Head of relevant scheme, must identify suitable actions aimed at:

- minimising such situations in future;
- verifying the efficacy of the corrective actions taken subsequently.

The decision of the CSI Committee is final.

### 5.4 Reply to the Company

The Management Representative must ensure that a prompt reply is initially sent to the appellant regarding receipt of the appeal and also briefly describing the process time that would be taken to come to a conclusion. Periodically also, when required, the Head will update the appellant about the outcome of their appeal. After a decision is made, the Head would send the reply to the Company before the end of the second month after receiving the appeal and formally closing the process.

## 6 Records

Records must be kept of all stages of the procedure (meeting minutes, correspondence with the company and the Lead Auditor, etc.).

All records are filed by the Business Line Manager involved.

A copy of the documentation must be sent to the Head of Certification/Inspection/Training/Product Certification.

In the case of EC certification procedures, a copy of the documents starting and ending the appeal inquiry will be filed in the appropriate section of the folder relating to the certification of the company lodging the appeal.

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