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|  | <b>ASTRALEUS SERVICES PVT. LTD.</b> | <b>Doc. No.</b>  | ASPL-QP-07 |
|                                                                                  |                                     | <b>Rev. No.</b>  | 01         |
|                                                                                  | <b>TITLE: MANAGEMENT OF APPEAL</b>  | <b>Rev. Date</b> | 01.10.2024 |


**Purpose:** The purpose of this procedure is based documented guidelines for managing appeal made by our client organization and in case of Certificate and Holder of Inspection item in case of Inspection

**Scope:** This procedure covers appeal received from ASPL **stakeholders\***, ASPL or against ASPL's staff related to its working and behavior.

**Responsibility:** Managing Director

**Authority:** This procedure is authorized by the Managing Director and can be amended only by him.

| Sec. | Sub Sec. | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
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| 1.0  |          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|      | 1.1      | <p>1- In case of Certification any Client can appeal the against decision of Certification body<br/> 2- In case of Inspection appeal can only be by holder of inspection item.</p> <p>(Appeal for Inspection body request by the provider of the item of inspection to the inspection body for reconsideration by that body of a decision it has made relating to that item)</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|      | 1.2      | <p>Appeal to be made in writing with proper justifications against the decisions. When any appeal is received by ASPL, the issue is recorded in ASPL-F-15-Appeal Record Register within 8 hours by the MD. <b><i>Acknowledgement of the receipt of Appeal is forwarded to the appellant within 2 working days, promising appropriate action will be taken within 3 month. The information about the receipt of the appeal is forwarded to the MD. Record of all appeal is maintained for 3 years. Appeal related papers are also retained in the concerned client file.</i></b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|      | 1.3      | <p><b><i>Inspection and certification related activities and decisions are performed by competent personnel/auditors. The MD is not involved in technical process (Audit and certification related process) therefore whenever any appeal against inspection/audit and certification decision is made by the appellant/client it is directly looked after by the MD <u>without any discrimination.</u></i></b></p> <p><b><i><u>All the appeal that previously come to us is maintained and also MD compare if there is any similarity in current appeal with previous one &amp; looks all the Correction and Corrective action of the last one.</u></i></b> On receipt of such an appeal, the Managing Director, shall investigate the issue personally and shall take appropriate action which may include re-audit by another audit team. If the appellant is not satisfied or the appeal is not resolved within one month, the issue is forwarded to the chairman of the impartial committee for further action.</p> <p><b><i>Note:- In inspection, its inspectors whose work would lead to appeal. In certification, other than audit team, there is review and decision. So be clear that MD will not be involved in decisions if he is to handle appeals</i></b></p> |
| 2    |          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|      | 2.1      | <p>The MD takes appropriate action to investigate and resolve the issue. The decision by the MD is taken in consultation with other members of the impartiality committee. The committee may pass appropriate action to the MD.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

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|          |            | <p>If the impartiality committee is not satisfied with the action taken by the MD the committee may highlight the issue before the appropriate regulatory authorities or scheme owner and IC make document.</p> <p>The MD ensure that the persons engaged in the appeals-handling process are different from those who were involved in the activities which cause the genesis of the appeal.</p> |
|          | <b>2.2</b> | The MD shall try to resolve the issue within 2 months.                                                                                                                                                                                                                                                                                                                                            |
| <b>3</b> |            | <b>Update to Appellant</b>                                                                                                                                                                                                                                                                                                                                                                        |
|          | <b>3.1</b> | The appellant is kept updated with progress in appeal handling process. All appeals are resolved or closed within 3 months of registration. The decision of the impartiality committee is final and further appeal is not entertained. A formal appeal closure report is sent to the appellant stating all the actions taken, and final decision of the appeal handling authority.                |
|          | <b>3.2</b> | Appeal summary and decision of the Managing Director/Impartiality Committee is properly recorded in the concerned Client's file.                                                                                                                                                                                                                                                                  |

**Reference:**

- a. ISO 17021-1:2015 & ISO17020

**Records:**

- a. Client file
- b. ASPL-F-15-Appeal Record Register including Resolution
- c. Record of MOM of the impartiality committee of ASPL