
	ASPIRATA CERTIFICATION BODY  <b>TITLE: APPEALS</b>	<b>Doc Ref</b>	9.7
		<b>Revision No:</b>	6
		<b>Issue Date:</b>	
<b>Author/Reviewer:</b>	Quality Coordinator	<b>Approver:</b>	National Operations Manager Auditing

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## 1. Purpose

The purpose of this document is to establish a procedure for the efficient handling of appeals to enable consistent application to comply with ISO/IEC 17021-1:2015, ISO/IEC 17065:2012, ISO 22003:2013, FSSC 22000 vs 5.1 and GlobalG.A.P. IFA v5.3 General Regulations requirements.

## 2. References

Standard	Applicable Clause	Standard	Applicable Clause
ISO/IEC 17021-1:2015	9.7	FSSC vs 5.1	
ISO/IEC 17021-2:2016		GlobalG.A.P. IFA v5.3 GR	
ISO/IEC 17021-3:2017		IAF	
ISO/IEC 17021-10:2018		JAS-ANZ Accreditation Manual	
ISO/IEC 17065:2012	7.1.3	SANAS P05-10	


## 3. Responsibilities

It is the responsibility of the Certification Manager to ensure that the certification body adheres to requirements of the procedure.

Aspirata Certification is responsible for gathering and verifying all necessary information to validate the appeal.

## 4. Appeals

- a) This procedure maps the process operated by Aspirata Certification to receive, evaluate and make decisions on appeals lodged by its clients.
- b) A description of the appeals-handling process shall be publicly accessible at least through the Aspirata website.
- c) Aspirata Certification shall manage and take responsibility for all decisions at all levels of the appeals-handling process. It shall ensure that the persons engaged in the appeals-handling process are different from those who were part of the audit process or were involved in the certification decision.
- d) To ensure no conflict of interest, personnel including those in a managerial capacity, shall not be involved in the resolution of the complaint or appeal for a minimum of 2 years if they have provided consultancy services to or worked for the client.
- e) Lodging an appeal, its investigation and subsequent decision shall not result in any discriminatory actions against the appealing person or company.

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- f) The appeals-handling process shall include the following actions:
- i. Logging all received appeals (Appeals register).
  - ii. Acknowledging receipt of the appeal.
  - iii. Inform the appellant of the process that will be followed.
  - iv. Validating and investigating the appeal.
  - v. Deciding what actions are to be taken in response to the appeal.
  - vi. Tracking and recording appeals, including actions undertaken to resolve them.
  - vii. Ensuring that any appropriate correction and corrective action are taken.
  - viii. Informing the appellant periodically of the progress regarding the appeal.
  - ix. Confidentiality will be maintained at all times.
- g) Where the appeal is lodged to dispute the certification decision, a complete investigation shall be conducted by a person not previously involved in the subject of the appeal. The following shall be considered:
- i. All objective evidence provided by the appellant
  - ii. All objective evidence provided by the audit team
  - iii. The requirements of the applicable standard and normative references.
  - iv. This may require that the investigation team may have to access the premises of the appellant to verify the submitted evidence to ensure compliance with the required standard and normative references.
- h) Aspirata Certification shall notify the appellant in writing of the outcome of the appeal investigation and corrective action taken, if appropriate.
- i) Aspirata Certification shall determine, together with the certified client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution shall be made public.

## 5. Records

Doc No	Document Name	Form Storage	Record Storage
F99	Appeals Register	<a href="#">O Drive: Certification Templates</a>	O-drive
F100	Appeal Form	<a href="#">O Drive: Certification Templates</a>	O-drive

## 6. Document Approval

Date Approved	Approved By	Position
	W Burger	National Operations Manager Auditing

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## 7. Document Control

Ref no	Date Approved	Date Published	Author	Approver	Publisher
	Previous document Procedure <b>ACB900_1</b>				
0	6 September 2015	30 September 2015	Certification Manager	Managing Director	Certification Manager
1	15 April 2016	15 April 2016	Certification Manager	Managing Director	Certification Manager
2	18 September 2016	19 September 2016	Certification Manager	Managing Director	Certification Manager
3	7 August 2017	7 August 2017	Certification Manager	Managing Director	Certification Manager
4	24 November 2019	25 November 2019	Certification Manager	Managing Director	Certification Manager
5	09 October 2020	09 October 2020	Quality Coordinator	National Operations Manager Auditing	Quality Coordinator
6			Quality Coordinator	National Operations Manager Auditing	Quality Coordinator