

NUSTAR CERTIFICATION & INSPECTION PVT LTD.

Document name	SOP for Management of Appeal
Document no	NCIPL/Appeal/SOP/09
Issue Date	15/04/2024
Review schedule	Annual
Revision no: 01	Revision date: 05/05/2025
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STANDARD OPERATING PROCEDURE

FOR

MANAGEMENT OF APPEAL

Approved by –
CEO

Prepared by-
Tech. Manager

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1.0 Purpose:

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

2.0 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 NCIPL.

3.0 Responsibility:

CEO, Director and Impartiality committee.

4.0 Authority:

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

4.1 Policy:

NCIPL has established a policy that allows full freedom to its clients to Submit appeals against the decisions of the audit team. Investigation and decision on appeals is considered a positive step towards building the credibility and reputation of NCIPL. And therefore appeals and subsequent actions do not result in any discriminatory actions against the appellant.

5.0 Procedure:

5.1 Definition of appeal:

Written objection made by the audited client against audit decisions taken by the audit team.

5.2 Receipt of appeal: Since this relates to our core process there is a separate provision in our website for lodging appeal. As soon as any appeal is received from any client, acknowledgment of the same is sent to the client, promising more information to be provided regarding decisions on your appeal, within 3 working days. Associated records are maintained. Record of all appeals is maintained at least for 4 years. Impartiality committee is kept updated regarding appeal & subsequent action taken.

Ref: Record of appeals

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5.3 Constitution of the Appeal management committee

To take appropriate action regarding Appeals, the CEO constitutes a 3 member committee headed by himself + Director+ a code competent auditor (who was not involved in the activities regarding which the appeal was raised.)

5.4 Competency of the Appeal Management committee

- The CEO is the Ex-officio member and head of the Appeal management committee.
- The Director is Ex-officio member of the Appeal management committee
- The auditor is the technical resource person who will enlighten and advise the CEO and the Director regarding technical matters/ issues raised by the

5.5 Responsibilities of the Appeal management committee:

The appeal management committee is responsible for –

- Reviewing the appeal and appointing competent person to investigate it.
- Gathering relevant information from all available sources including the client, the audit team and other relevant persons
- Taking appropriate decision that may include –
 - Rejection of appeal being not viable
 - Ordering re-audit (by another auditor) restricted to areas regarding which appeal was made

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5.6 Investigation of Appeal: The CEO/ designated officer/ auditor looks into appeals, and as per situation one or more of the following action is taken –

- i. Documentary evidence is requested from the client in support of their claim.
- ii. The concerned audit team against whose decision the appeal was lodged, is invited and appropriate enquiry is done.
- iii. Another auditor is deputed to conduct re audit of those aspects which caused dispute and appeal.

5.7 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.

Monitoring by Impartiality committee:

Information regarding lodging of appeal and subsequent action being taken by the Appeal management committee is – provided to all members of the Impartiality committee by E-mail. All cases of Appeal and complaints are necessarily reviewed by the impartiality committee during its 6 monthly review meeting.

5.8 Correction & corrective action:

Based upon additional information received after investigation, from multiple sources, the Appeal management committee takes appropriate decision and it is documented, and the same is communicated to the client. These decision may include –

- Rejection of appeal being not viable
- Ordering re-audit (by another auditor) restricted to areas regarding which appeal was made
- issue of advice/ asking for retraining of the auditor/ auditors

Associated records are maintained.

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5.7 Updating of appellant:

The appellant is kept updated with progress in appeal handling process. All appeals are resolved or closed within 3 months of registration of the appeal. A formal appeal closure report is sent to the appellant stating all the actions taken, and final decision of the appeal handling authority.

The decision of the CEO is recorded in the Client's file. Summary of activities subsequent to appeal is recorded in a Register NCIPL/Appeal/F-01. The record is retained for at least 4 years.

5.9 In case the client/ Appellant is not satisfied with the appeal handling process/ decision of the appeal management committee, to remove any suspicion of bias, NCIPL allows the appellant to put forward his/ her case before the **Impartiality committee**. The CEO voluntarily forwards all resolved and unresolved cases of Appeals to the Impartiality Committee for their review and necessary guidance or instructions.

An especial meeting of the Impartiality committee is convened and the appeal and related issues are deliberated and a final decision by the committee is taken and acted upon by NCIPL. Record of such references and decision of the Impartiality committee is maintained in the Appeal file and also in the client's file. The appellant is again updated about the final decision taken by the Impartiality committee.

6.0 Where applicable Summary of all appeal cases and action taken thereof are forwarded to the accreditation board for information.

Reference: ISO 17021-1:2015

Records : NCIPL/Appeal/F-01

Client file

MOM of the Impartiality Management committee

-X-

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