



IQCS INTERNATIONAL LLP	PROCEDURE FOR MANAGEMENT OF APPEALS, QSP/11
Issue No.03	Doc. Number: QSP/11
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MANAGEMENT OF APPEALS, QSP/08

1. Purpose:

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

2. 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 auditor/ audit team of INSIGHT LLP.

3. Responsibility:

CEO, Director

4. Authority:

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

5. Procedure:

5.1 Definition:

Written Complaints raised by our clients regarding dissatisfaction of our assessment output is categorized as Appeal.

5.2 Receipt of appeal: Since this relates to our core process there is a separate provision in our website for lodging appeal. Appeal can also be made in writing to our office. As soon as any appeal is received acknowledgment to the client, promising appropriate action within one month, within 3 working days. Record of all appeals is maintained at least for 4 years.

Ref: Record of appeals

5.3 All Appeals are reviewed by CEO.

5.4 Investigation of Appeal:

CEO 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. Another auditor is deputed to conduct re audit of those aspects which caused dispute and appeal.

	APPROVED BY	ISSUED BY
DESIGNATION	DIRECTOR	QMSCR
SIGNATURE		
DATE	05/11/2022	05/11/22



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iii. subsequent actions are taken

5.5 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. QMSCR also monitors appeal handling process. All cases of Appeal and complaints are necessarily reviewed by the QMSCR during its 6 monthly review meeting.

5.6 Correction & corrective action:

Based upon additional information received after investigation, from multiple sources, the QMSCR takes appropriate decision and it is documented, and the same is communicated to the client. Corrections and corrective actions are taken, if required. The CEO takes appropriate as per decision made by the QMSCR & records are maintained.

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. The decision of the Technical 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.

5.8 The decision of the CEO is recorded in the Client’s file. Summary of activities subsequent to appeal is recorded and the record is retained for at least 4 years.

Forms/Records

Customer appeals data

Corrective action data

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