



	Universal Certification Services (Thailand) Company Limited	Doc. No. : PROC 13
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Procedure 13

Appeal Handling

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Date : 20.12.2023	Date : 20.12.2023	Date : 20.12.2023

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Appeal Handling

Purpose

To appeal against the decision of [UCS](#) at any stages of auditing and certification.

Scope

This applies to all the GMP FDA, GHP, HACCP, [TAS Standard](#), FSMS and QMS audits.

Responsibility

Impartiality committee will intervene and resolve the issues.

Procedure

To appeal, the client should call [UCS](#) and provide grounds for appeal [within 15 Days from the date of acknowledgment of the decision certificate](#). The appeal may be sent to CB in writing through letters or email. This appeal will be entered on F39 Record of Appeal. [UCS](#) acknowledges the receipt of the appeal and provides the appellant with progress reports and the outcome.

Issues which can be provided for appeal to [UCS](#):

1. [UCS](#) refuse the customer's request for application of certification with no proper reasons
2. [UCS](#) Failed to register for certification
3. Customers do not agree in Suspension, revocation, and withdrawal of certification from [UCS](#)
4. Customers do not agree with the Scope of registration
5. Customers do not agree with non-conformities raised from [UCS](#) audit team
6. Other external interested parties do not agree with [UCS](#)'s certificate issue processes


The responsibility for deciding on appeals is vested with Head of Certification, however where Head of certification is engaged in any certification process it may refer to Managing director.

Cases where Head of certification and managing Director both are engaged in certification process (if any), MD can designate a special board further consist with at least with three members from the impartiality committee.

[UCS](#) shall also investigate the grounds for appeal. The review shall be done on the Form F41 and it is being forwarded to management of [UCS](#).

The management of [UCS](#) will form an independent group to hear the appeal. Depending upon the circumstances the client may be requested to appear in person. Whatever the situation it is the duty of the impartiality committee to hold an independent, impartial, and factual hearing.

The management will form a binding and final conclusion.

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UCS against receiving the appeal appoints an independent team or individual for gathering and verifying all necessary information to validate the appeal.

Final conclusion shall be recorded and also intimated to the client through formal notice.
To the appellant of the end of the appeals-handling process.

The conclusion forwarded to the client related to appeal shall be made by or reviewed by and approved by individual not previously involved in the subject of the appeal.

UCS ensures tracking and recording of appeals, including actions undertaken to resolve them including the appropriate correction and corrective action also.

It also ensures that submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant. These cases are reviewed by the impartiality committee members periodically.

REFERENCE RECORDS:

Record Ref.	Name of Record	Retention
F39	Record of Appeal	6 Years
F41	Review of Appeal	6 Years

End of Procedure