

OPERATING PROCEDURE

APPEAL

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1. OBJECTIVE

- To define the process of handling and making a decision on appeals lodged by Clients against an Inspector's recommendation, and where a complainant's complaint is not upheld.

2. SCOPE

This document shall apply to all Clients that have lodged an appeal against GCL International Assessment Pvt Ltd (GCL) for:

- i) The result of a GCL Initial Inspection
- ii) The result of an annual Inspection/surveillance
- iii) The result of an Unannounced Inspection
- iv) The result of an analysis and Residue Testing
- v) Decision on issuance/non issuance of Transaction certificate

3. RESPONSIBILITIES

Chairman of Impartiality Committee

- Shall select at least two other members of the Impartiality Committee when an Appeals Panel needs to be established, none of whom shall have an interest in the outcome of the appeal.
- Shall ensure that a meeting takes place within 30 clear days of receipt of such notice and the appellant to be given at least 7 days-notice of the time and place and minutes are produced.

Director

- Shall ensure that appeals against GCL are logged in the Appeals section of the GCL-PORTAL system.
- Shall ensure that all records held are filed in a secure manner using a method that assists efficient retrieval.
- Shall be the communication point between the appellant and the Impartiality Committee.

4. METHOD

General System

- All appeals shall be made in writing by the appellant, stating the grounds for the appeal. All appeals received shall be recorded into GCL-PORTAL-GIS (Global Improvement System) which shall allocate a tracking number accordingly. The GCL-PORTAL system covers worldwide appeals all recorded within a

central register. As well as the unique tracking number, GCL-PORTAL also auto-records the date received and then the details of the appeal are recorded in GCL-PORTAL.

- After logging the appeal in GCL-PORTAL the appellant shall be informed in writing to acknowledge the appeal as well as being advised of the tracking reference number by the **Director**.
- The Chairman of the Impartiality shall be informed by the **Director** of the Appeal in order that a Panel can be selected. The appeals panel shall consist of 3 members, one being the Chairman of the Impartiality Committee, none of which can have any interest in the outcome of the appeal.

Conduct of Appeals Panel & Appeals Processes

- All submissions from the appellants are collected together by the **Director** and supplied to the Appeals Panel for a meeting to discuss the appeal.
- An Appeals Committee shall be established as a sub-committee of the Impartiality Committee for the purpose of hearing Appeals relating to the 'Scheme' assessed.
- The Appeals Committee shall have a Chairman and at least two other members. Members of the Committee shall not have a personal or financial interest in the outcome of the Appeal also the person(s) responsible for the decision being appealed against shall not be involved in the final decision on the appeal
- The procedure for dealing with the Appeals shall ensure that:
 - The methodology for dealing with the Appeals is stated.
 - A register shall be maintained to record all Appeals and their outcome and the names of the Members of the Committee hearing the Appeal.
- The decision of the Appeals Committee shall be final.
- Appeals shall be tracked using state-flow management within GCL-PORTAL and traced by the unique appeals reference number.
- The **Director** shall collect all communications regarding the appeal, e.g., emails, letters and supporting data and submit to the Chairman of the Appeals Panel. The **Director** shall also produce information for the Appeals Panel, to include as a minimum (for Inspection, Annual Inspection, and Unannounced Inspection Appeals), the Inspector competence details, the full Inspection reports for the visit, non-conformities and details of the original contract review.
- Where the appeal has been made in respect of a complaint not upheld the **Director** will again collect all communications regarding the appeal, e.g., emails, letters and supporting data, details of investigations and findings, together with a copy of the report, and any additional information provided by the complainant to support the claim, and submit to the Chairman of the Appeals Panel

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Issue Date	20/05/2025
Issue Number	03
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- All information shall be reviewed by the Appeals Panel, who shall also look at information within GCL-PORTAL to establish whether there are any trends of similar appeals.
- The result of the appeal and any actions to be taken shall be documented within GCL-PORTAL and then relayed to the appellant by the **Director**. The appellant shall be advised of the date of the Appeals Panel meeting and then the result of the appeal.
- In respect of Inspection appeals the decision on the appeal shall not result in discriminatory actions against the appellant. To this end, any Inspector who conducted the Inspection that resulted in the appeal shall never be assigned to that particular client for any Inspection purposes again. After the appellant has been advised of the result of the appeal the **Director** shall advise the appellant of the end of the appeals-handling process.
- Information relating to corrective and preventive action shall be fed into Management review meetings Impartiality Committee meeting as input.