

## PRO.005 Appeals against Certification Decisions

### 1. Purpose and Scope

The purpose of this procedure is to describe the consideration and resolution of appeals against the findings of the DAA Group audits, where these are carried out under legally delegated authority.

An appeal is a process/a mechanism/procedure outcome that may evolve from disagreement between the DAA Group and/or its employees/contractors and a client and/or ISQUA and/or the Ministry of Health regarding audit findings and associated recommendations or procedures.

This procedure includes within its scope appeals against decisions made by the DAA Group with respect to the findings of an audit and/or granting certification of client management systems. This procedure does not include within its scope appeals against decisions made by the Ministry of Health and the Director-General of Health with respect to granting certification of health and disability services for the purpose of the Health and Disability Services (Safety) Act 2001.

### 2. Appeals

2.1 A client or their authorized representative may appeal against decisions made by the DAA Group in relation to an audit process, an auditor decision, the audit report, or audit recommendation.

An appeal must be lodged to the Directors DAA Group Ltd in writing within 5 working days of receiving the DAA Group's finalized report setting out the grounds of appeal, together with supporting evidence.

2.2 The appropriate Director shall:

- Confirm receipt of the appeal to the client in writing within five working days
- Obtain the client file
- Advise the Lead Auditor involved in the audit(s) associated with the appeal that an appeal has been received
- Deciding the process of the appeal which might include:
- Forwarding the appeal together with any relevant documentation from the client file to two senior independent auditors (independent from the audit) for review
- Start an independent file in the appeals folder (G:\Administration\Quality Improvement\Complaints\Appeals)

2.3 The independent reviewers shall review and investigate the appeal taking into account the circumstances and results of previous or similar appeals.

2.4 The appellant shall be informed every 20 working days of progress of the appeal process investigation.

2.5 The independent reviewers shall advise recommendations of what actions could be taken and record their opinion in writing. The record shall make recommendations that clearly state all necessary follow-up action and responsibilities associated with the outcome of the appeal review.

- The appointed Director will ordinarily take the recommendations of the appointed appeal review (2) auditors as far as reasonably practical to do so however the Director is the decision-maker.
- 2.6 The appellant shall be given formal notification of the outcome of the appeal review which will usually include the reason however the Director is not obliged to provide a reason. There is no right for further appeal.
- 2.7 The Director shall be responsible to ensure that any follow up action (to ensure that appropriate corrective action) is taken. A record of follow-up and close-out of the appeal shall be signed off by the DAA Group Director.
- 2.8 At the next Impartiality Committee meeting, the committee shall review the process for and outcome of the appeal to ensure due process has occurred.
- 2.9 Our external Certification process by ISQua additionally verifies implementation of the appeals process at their regular on site audits.