	GIS Quality Management System		Reference	P3-AE-23-PCA
	ESMA- Procedure for Complaints, Appeals and Dispute		Version	2
			Date	15.04.2021
			Author	Sanish James
			Approved by	Sithara Hatim

PURPOSE AND SCOPE

This procedure outlines the procedure involved in handling customer complaints, appeals and disputes related to certification decision and activities including maintenance of relevant records. All steps in this procedure is covered under the Conformity Affairs requirements/procedure for confidentiality and impartiality.

The PCA program maintain a complaints and appeals process which has the following objectives,

- To register and address complaints from clients of the PCA programs
- To register and address complaints about clients of SGS from members of the public i.e stakeholders
- To register and address complaints about the PCA programs
- To ensure that valid complaints and appeal are dealt timely and appropriately.

IMPORTANT NOTES:

- SGS can involve in dealing with complaints and appeals where they relate to the requirements of ESMA program only.
- SGS will not respond to anonymous complaints and appeals and all communications must be in writing.
- Full implementation of action is completed in compliance with relevant procedure within SGS management system.

DEFINITIONS:


“Technical Discussions/ Disputes” means a disagreement between SGS and client regarding SGS’s opinions/ decisions made at various stages during the verification, inspection and certification process.

“Complaint” is an expression of dissatisfaction other than appeal, by any person or organization relating to the activities of the company, where a response is expected. It also addresses dissatisfaction against individuals and conduct of individuals of our organization. It may be a written or a verbal complaint.

“Appeal” is a request by the provider, the seller or buyer of the inspected item for reconsideration of a decision we have made relating to that item. Therefore, any request for reconsideration of our technical decision received after the issuance of a Certificate will be considered an appeal.

RESPONSIBILITY & AUTHORITY

SGS -Manager for ESMA project / Quality Manager / Certification Manager shall be fully responsible for handling/ receiving/ acknowledging/ reviewing/ deciding on disputes and complaints. In case of appeals, the matter has to be brought to the attention of the Technical Committee for further investigation and corrective action.

	GIS Quality Management System		Reference	P3-AE-23-PCA
	ESMA- Procedure for Complaints, Appeals and Dispute		Version	2
			Date	15.04.2021
			Author	Sanish James
			Approved by	Sithara Hatim

REFERENCE:

Clause 7.13 of ISO/IEC 17065:2012

HOW TO REGISTER A COMPLAINT OR APPEAL?

You can register a complaint or appeal by sending email to ecas@sgs.com / me.sgs.esma@sgs.com

Or, you can contact SGS local office directly and submit your complaint in <http://www.sgs.com/en/office-directory>

PROCEDURAL STEPS

- Address the complaint or appeal to the local SGS office (refer to definitions to differentiate a complaint from an appeal). To assist in this process, complaint and appeals must be substantiated with objective evidences as far as possible and accurate description of location, dates and people involved.
- The recipient of the complaint or appeal will acknowledge the receipt and will assure you that the matter will be investigated fairly and thoroughly.
- Acknowledgement is normally send within one working day of reception.
- All those complaints/ appeals are registered in a special log in our database where they are thoroughly investigated under the responsibility of the concerned office and the supervision of the department manager.
- The results of the investigation are then communicated to the client or any other stakeholder by the concerned office to which the complaint or appeal was addressed. This is normally done within seven working days, provided that all the documentation and information needed for the investigation was received. Countdown for the seven working days start as from the date of the reception of the said documentation/ information.
- In case you were not satisfied with our investigation's result, you will be asked to submit a request for reconsideration which will be escalated to top management.
- Complaints registered and full report will be communicated to ESMA via email.

Reference Document: P4-GIS-01 (SGS Global Procedure for Complaints, Claims and Appeals)
 SGS PCA terms and condition – www.sgs.com / [SGS PCA T&C](#)
 SGS product conformity assessment - [SGS PCA](#)