

	Document Title	Appeals Handling Procedure	
	Effective date	Document No.	Revision
	08 March 2022	CER_PR_002	04

1. PURPOSE

This procedure describes the activities to ensure that appeals are promptly handled and dealt with indiscriminately.

2. SCOPE

This covers Management System Certification services.

3. ABBREVIATIONS

3.1 ED: Executive Director

3.2 QAM: Quality Assurance Manager

3.3 MSCS: Management Systems Certification Scheme

3.4 EXCO: Executive Management Committee

4. DEFINITIONS

4.1. Appeal: any request for review that is conveyed in writing, against a decision made by MSCS taking into consideration the explanation provided by the client. This may be either during the course of audit at the client's premises or any work pertaining to certification.

4.2. Appeals can be due to:

- refusal of an audit by MSCS
- non acceptance of scope of certification;
- decisions made on misuse, suspension, withdrawal, cancellation, extending and reducing the certification;
- failure to recommend certification by the Certification Committee
- notification by any third party/interested party against the grant of certification by MSCS.

5. RESPONSIBILITIES

5.1. QAM- is responsible for day-to-day operations of MSCS and quality management systems implementation within SWASA.

5.2. Appeals Committee – Appeals Committee appointed under section 20 of the Eswatini Standards and Quality Act 2003 is responsible for addressing appeals.

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6. PROCEDURE

No	Task	Responsibility
6.1	Receipt, validation and registration	QAM
6.1.1	Receipt of the appeal on prescribed format with prescribed fee and within 90 days of the decision taken and provide the appellant with progress reports and the outcome.	QAM
6.1.2	Validate the appeal that it really relates to decisions of MSCS and should be handled	QAM
6.1.3	After validation register the appeal and acknowledge to the appellant and treat as confidential.	QAM
6.1.4	The appeal shall be logged electronically and given a unique number for reference and identification	QAM
6.2	Processing and resolution of appeal	
6.2.1	Decide to request the Appeals Committee to investigate the appeal and give a final decision.	Executive Director/Assigned EXCO member
6.2.2	Send meeting notice for convening of the Appeals Committee at least 15 days before the hearing date	Executive Director/Assigned EXCO member
6.2.3	Take confidentiality statement from members of the Appeals Committee stressing need not to disclose either all or part of the proceedings to a third party.	Executive Director/Assigned EXCO member
6.2.4	The Appeals Committee shall sit for as many sessions as deemed necessary in order for them to reach a sound judgment	Appeals Committee
6.2.5	Track and maintains a record of all appeals along with remedial actions pertaining to the certification system	QAM
6.2.6	Keeps the appellant updated about the progress and outcome.	QAM
6.3	Follow up	
6.3.1	A formal notice of conclusion of the appeal handling process shall be provided to the appellant.	QAM
6.3.2	Identify problems requiring any actions to prevent recurrence of the appeals situation for corrective action commensurate with the nature and risk involved. These include measures such as: - restoring conformity to the certification system process - assessing the effectiveness of remedial/corrective actions taken.	QAM

6. REFERENCES

CER_FO_007 Appeals register

Prepared by: DCO	Approved by: QAM	Page 2 of 2
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