

	Document Title	Complaints handling Procedure	
	Effective date	Document No.	Revision
	08 March 2022	CER_PR_006	05

1. PURPOSE

To ensure uniform norms for receiving and dealing with complaints relating to operations of SWASA Management Systems Certification Scheme (MSCS).

2. SCOPE

This covers handling of complaints pertaining to operations of SWASA Management Systems Certification Scheme.

3. ABBREVIATIONS

3.1. MSCS – Management Systems Certification scheme

3.2. CAC – Certification Approvals Committee

3.3. QAM – Quality Assurance Manager

3.4. MSO – Marketing and Communications Officer

4. DEFINITIONS

4.1. Complaints: dissatisfaction expressed (other than appeal) by a person or by an organization on the output of any service rendered by MSCS.

4.2. Complainant: person, organization or its representative, making a complaint (person/ organization that signs the complaint).

4.3. Feedback: opinions, comments and expressions of interest in the products or service or the complaints-handling process.

5. FORMATION OF COMPLAINTS COMMITTEE

5.1. A complaints committee shall be formulated and constituted depending on the nature of the complaint as well as the affected department.

5.2. No department shall investigate its own complaint as a respondent.

5.3. Where the certification unit is a respondent, the Executive Director shall assign a complaints committee.

6. RESPONSIBILITIES

6.1. QAM– Head, Management Systems Department and Management Representative (MR) is responsible for day-to-day operations of MSCS and management systems implementation within MSCS.

6.2. Complaints Committee - The Complaints Committee is responsible for deciding on complaints against MSCS. The committee can be a single person independent of the issue at hand.

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6.3. MSO- receives, evaluates complaints.

7. PROCEDURE

Step.	Task	Responsibility
7.1.	Receipt and registration of complaints	
7.1.1.	Complaints are received by the Marketing and Sales Officer (MSO) via email, fax, letter or verbal. He /She ensures all details are recorded on the Complaints Register.	MSO
7.1.2.	Forward the complaint to QAM along with all details.	MSO
7.1.3.	Validate whether the received complaint relates to certification activities if so, deal with it, if not, send it to the relevant department. If the complaint relates to a certified client, then examination of the complaint shall consider the effectiveness of the certified management system.	QAM
7.2.	Assessment & Investigation of complaints	
7.2.1.	Study the complaint, identify remedy sought by the complainant and gather necessary information for the effective handling of the complaint. If necessary, arrange a visit to the complainant to gather complete information and submit a report. Note 1: QAM shall initiate action. Note 2: This should be conducted by a person who is independent of the nature or range of the complaint Note 3: In case of conflict of interest with QAM, a SWASA manager from another division will perform this function.	QAO/QAM
7.2.2.	Convene a meeting of Complaints Committee to take decision considering all the relevant circumstances and information surrounding a complaint.	Complaints committee
7.2.3.	Assess the severity, safety implication, complexity, impact, and the possibility of immediate action of each complaint.	Complaints committee
7.3.	For complaints received against certified Organizations	
7.3.1.	A special audit is planned to ascertain the actions taken by the certified client and ensuring effectiveness of the certified management system. Advise verification of actions taken during forth-coming surveillance audit.	CAC
7.4.	Formal notice of complaint investigation conclusions shall be communicated to the complainant.	MSO

8. REFERENCES

4_QUA_ Complaints register