



SİGMACERT ULUSLARARASI BELGELENDİRME EĞİTİM VE TEST HİZMETLERİ LTD. ŞTİ.

YS.PR.04 Complaints and Appeals Procedure
(Revision 01 – 11.08.2020)

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Complaints and Appeals Procedure

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Complaints and Appeals Procedure

A. Objective

The purpose of this procedure is to describe how Sigmacert resolves issues in the context of management system certification standards and procedures, and identifies improvements to standards and procedures so that future complaints are avoided.

This procedure aims to give all interested parties access to procedures which consider complaints and appeals in a timely and fair way to ensure the public accountability of the certification process.

B. Scope

This procedure covers process of receive, evaluate and decision making on complaints and appeals for Certification. The process is designed to be followed by Certification Manager, audit team members, all other staff, certificate holders and all interested parties in order to meet management system requirements in the standards listed below.

C. References

The following referenced documents are relevant for the application of this procedure.

ISO/IEC 17021-1 Conformity assessment - Requirements for bodies providing audit and certification of management systems

D. Terms and definitions

For the purposes of this procedure, the terms and definitions provided in ISO/IEC 17021-1 Conformity assessment - Requirements for bodies providing audit and certification of management systems and the above mentioned references are applied.

Complaint: expression of dissatisfaction, other than appeal, by any person or organisation to a certification body, relating to the activities of that body, where a response is expected.

Appeal: request by the client to the certification body for reconsideration of a decision it has made relating to that client.

E. Revision History

Revision 00 was approved by Sigmacert on 1st October 2016 to ensure conformity with applicable requirements of ISO/IEC 17021-1 Conformity assessment - Requirements for bodies providing audit and certification of management systems.

Revision 01 was approved by Sigmacert on 11th August 2020 to organizing applications

F. Related Documents

YS.FR.040 Appeals and Complaints Follow-up Form

YS.FR.043 Appeals and Complaints Form



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Part 1: Complaints and Appeals

1.1 General

- 1.1.1 Sigmacert allows the aggrieved party the opportunity to present the complaint or appeal to Certification Manager through its website. This procedure along with YS.FR.043 Appeals and Complaints Form is easily accessible on the websites of Sigmacert.
- 1.1.2 Sigmacert requires the complainant or appellant to include a clear description of the complaint or appeal, objective evidence to support each element or aspect of the complaint or appeal, and the name and contact information of the submitter.

1.2 Receive of complaints and appeals

- 1.2.2 Upon receipt of a complaint or appeal, Sigmacert confirms whether the complaint or appeal relates to certification activities for which it is responsible and, if so, address it by e-mail.
- 1.2.3 Certification Manager responds to complaints and appeals in the same language that is used in the certification report, or agrees with the complainant on the language used.
- 1.2.4 Sigmacert retains the anonymity of the complainant in relation to the client, if this is requested by the complainant.
- 1.2.5 Sigmacert treats anonymous complaints and expressions of dissatisfaction that are not substantiated as complaints as stakeholder comments and address these during the next audit.

1.3 Evaluation of complaints and appeals

- 1.3.1 Sigmacert is responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision.
- 1.3.2 Sigmacert has the duty of seeking a timely resolution of complaints and appeals, in particular to:
 - a) acknowledge receipt of a complaint or appeal;
 - b) provide an initial response, including an outline of Sigmacert's proposed course of action to follow up on the complaint or appeal, within two (2) weeks of receiving a complaint or appeal;
 - c) keep the complainant(s)/ appellant(s) informed of progress in evaluating the complaint/ appeal;
 - d) investigate the allegations and specify all its proposed actions in conclusion to the complaint or appeal within three (3) months of receiving the complaint or appeal;
 - e) notify the complainant when the complaint is considered to be closed, meaning that Sigmacert has gathered and verified all necessary information, investigated the allegations, taken a decision on the complaint and responded to the complainant.

1.4 Decision making for complaints and appeals

- 1.4.1 The decision resolving the complaint or appeal is made by, or reviewed and approved by, Certification Manager or General Manager, who is not involved in the evaluation related to the complaint or appeal.
- 1.4.2 Sigmacert records and tracks complaints and appeals, as well as actions undertaken to resolve them on YS.FR.043 Appeals and Complaints Form and they are followed through YS.FR.040 Appeals and Complaints Follow-up Form by Certification Manager.
- 1.4.3 A complainant is offered the opportunity to refer their complaint to IAS, if the issue has not been resolved through the full implementation of Sigmacert's own procedures, or if the complainant



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disagrees with the conclusions reached by Sigmacert and/ or is dissatisfied by the way Sigmacert handled the complaint. As the ultimate step, the complaint may be referred to IAS.