



COMPLAINTS AND APPEALS

ESCC Basic Specification No. 23600

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1 **INTRODUCTION**

In order to ensure that the ESCC Qualification Process is as open and fair as possible, a formal complaints and appeals process is required to allow users and manufacturers the ability to query decisions arrived at during the qualification process or complain about the manner in which an activity is conducted.

In addition, an independent mechanism is provided to allow users of the ESCC system or products to complain with respect to any aspect of the system.

A formal procedure is therefore required to ensure that this activity is performed in a controlled and consistent manner and that information is available for the improvement process.

2 **SCOPE**

The scope of this procedure covers the following:

- Complaints with respect to the conduct of an ESCC Executive activity or a qualification activity carried out by a person assigned by the ESCC Executive.
- Appeals with respect to a qualification related decision, including those related to the disposition of Document Change Requests (DCRs) against ESCC Specifications.

In addition, this procedure covers the following with respect to the interface between the ESCC and the user of a qualified component:

- Complaints with respect to the operation of a Qualified Manufacturer.

This procedure does not cover complaints with respect to the technical performance or quality of a specific component. These are covered via the Non-Conformance procedure, ESCC Basic Specification No. [22800](#).

3 **DEFINITIONS**

Complaint

A complaint is where a recipient considers the performance of a task or activity to have been unsatisfactory.

Appeal

An appeal is where there is a request to reconsider a decision.

Interested Party

A person or organisation that, although not directly participating in an ESCC activity, does have an interest in its effectiveness.

Appellant

Person or organisation lodging an appeal.

4 ABBREVIATIONS

The following abbreviations are used in this document:

DCR	Document Change Request
ESA	European Space Agency
ESCC	European Space Components Co-ordination
SCSB	Space Components Steering Board
ISO	International Organisation for Standardisation

5 RELATED DOCUMENTS

5.1 APPLICABLE DOCUMENTS

The following documents are applicable to the extent defined within this procedure.

ESCC 22800	ESCC Non-Conformance Control System
ESCC 11100	Internal Audit

5.2 REFERENCE DOCUMENTS

The following documents, though not formally a part of the document, amplify or clarify its content.

ISO 10018	Complaints handling - Guidelines for organisations
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6 ROLES AND RESPONSIBILITY

6.1 SCSB

The SCSB is responsible for the final decision with respect to appeals.

6.2 SCSB TECHNICAL SECRETARY

The SCSB Technical Secretary is responsible for the reporting of Complaints and Appeals to the SCSB at each meeting.

6.3 ESCC EXECUTIVE MANAGER

The ESCC Executive Manager is responsible for the processing of complaints and appeals in accordance with this procedure.

In addition, the Executive Manager is responsible for the receipt and resolution of complaints made against the ESCC Executive.

6.4 ESCC USERS AND MANUFACTURERS

Component Manufacturers and ESCC Users are responsible for following this procedure with respect to the lodging of complaints and appeals and for the provision of information as required by the ESCC for the investigation of the issue.

6.5 MEMBERS OF THE EXECUTIVE AND PARTICIPATING AGENCIES

All members of the ESCC Executive and the Agencies Contributing to the ESCC shall ensure that complaints received by them are copied to the Executive Manager in accordance with this procedure.

7 PROCEDURE FOR COMPLAINTS

7.1 COMPLAINT TYPES

A complaint occurs where a recipient considers the performance of a task or activity to have been unsatisfactory.

The following types of complaint may occur within the operation of the ESCC Scheme. For each type, the activity being performed is identified as well as the complaint originator and the receiver of the complaint.

Activity	Complaint From	Complaint to
ESCC Administration (Management of Qualification Activities, Document Change Request disposition, etc.)	User, Manufacturer or Participating Agency	Executive Manager
Commercial Activity	User	Manufacturer
Qualification Assessment/Evaluation	Manufacturer	Participating Agency
Ease of use or clarity of ESCC Scheme	Any interested party	Executive Manager

In addition, any interested party may make a complaint to the ESCC Executive with respect to the ESCC System for issues such as the ease of use of specifications and electronic interfaces such as the ESCC Web Site or ESCIES.

7.2 COMPLAINTS PROCESS

An overview of the complaints process is shown in [Figure 1](#).

In all cases, it is the responsibility of the parties directly involved in the complaint to seek a resolution at the working level.

All complaints received with respect to the operation, management or administration of the ESCC or any of its participating bodies shall be copied to the Executive Manager. The Executive Manager shall maintain a log of all received complaints.

Where a complaint is received against the ESCC Executive, the Executive Manager shall:

- Review the complaint with respect to the evidence provided by the complainant, and shall request any further information from any involved party that will allow the review to be conducted.
- Respond to the complaint detailing the cause of the complaint and define the action, if any, to be taken to correct the problem.
- Maintain a record of all complaints received, the associated responses and any relevant information.

Where any complaint is received directly by the ESCC with respect to the performance of an ESCC Qualified Manufacturer, the Executive Manager shall log the complaint and investigate it with the manufacturer concerned and the complainant.

This is then processed as for complaints from component manufacturers and remedial action defined. This action may be:

- ESA Alert Procedure.
- Reduction/Withdrawal of Qualification (Interface with ESA with respect to the Certification process).
- Additional Surveillance activities.
- No action to be taken, a simple explanation may be all that is required.

Where the parties involved in the complaint cannot reach a resolution, the complainant may then appeal using the appeals process defined in this procedure.

8 PROCEDURE FOR APPEALS

8.1 TYPES OF APPEALS

An appeal is where there is a request to reconsider a decision. There are two types of appeals to be considered:

- An appeal with respect to a decision made including those relating to qualification and those relating to disposition of DCRs or other operational aspects of the ESCC System.
- An appeal with respect to the non-resolution of a complaint.

The points at which a manufacturer can appeal with respect to the qualification process are defined as follows:

- Upon rejection of an application to become qualified.
- At the end of the Evaluation process.
- At the end of the Qualification Process.
- When under qualification, where a decision is made with respect to qualification status as a result of a surveillance activity, Non-Conformance or a change in the PID.
- During the process of extending qualification as for the original qualification process.

8.2 APPEALS PROCESS

The appeals Process is shown in [Figure 2](#).

Any organisation or individual appealing a decision (appellant) taken as part of the qualification process or as a result of the non-resolution of a complaint shall communicate their appeal to the Executive Manager. The appeal shall include the following:

- Decision being appealed against.
- Reason for Appeal.
- Background or supporting information to support the appeal.

The Executive Manager shall:

- Log the appeal in the appeals register.
- Investigate the appeal with all parties concerned.
- Respond in writing the appellant with respect to the decision made and the reason for the decision.

This process may involve negotiation between, for example, a manufacturer and the Lead Auditor responsible for the Manufacturer Evaluation process.

Should the appellant decide to appeal this decision, they shall communicate the appeal, with the original information and any further information required to directly to the SCSB.

The SCSB shall review the appeal. Where necessary, the SCCB shall appoint a board to investigate the appeal. This board shall investigate the appeal with all parties involved in the initial issue (complaint or appeal) and the Executive Manager. At the end of the investigation, the board shall issue its report to the SCSB with its recommendation. The board shall then conclude its activities.

The SCSB shall then make its decision. This decision is final and shall be communicated to the appellant by the SCSB.

It should be noted that any appeal received directly by any ESCC participating body shall be referred to the ESCC Executive Manager in accordance with this procedure.

9 **RECORDS AND REPORTING**

9.1 **RECORDS**

The following records are required by this procedure:

Record	Responsible Individual	Storage Term
Complaints and Appeals Log(s)	Executive Manager	Ongoing
All records of complaints made against the ESCC Executive or any of the Participating Agencies	Executive Manager	5 Years
All records of appeals	Executive Manager	5 Years

All records relating to Complaints and Appeals shall be held in the strictest confidence by the Executive Manager. These records shall not be passed to any party without a direct interest in the complaint or appeal being processed.

All individuals and organisations having access to this information shall be responsible for its control in accordance with this policy.

9.2 **REPORTING**

The Technical Secretary is responsible for the reporting of complaints and appeals to the SCSB at each meeting.

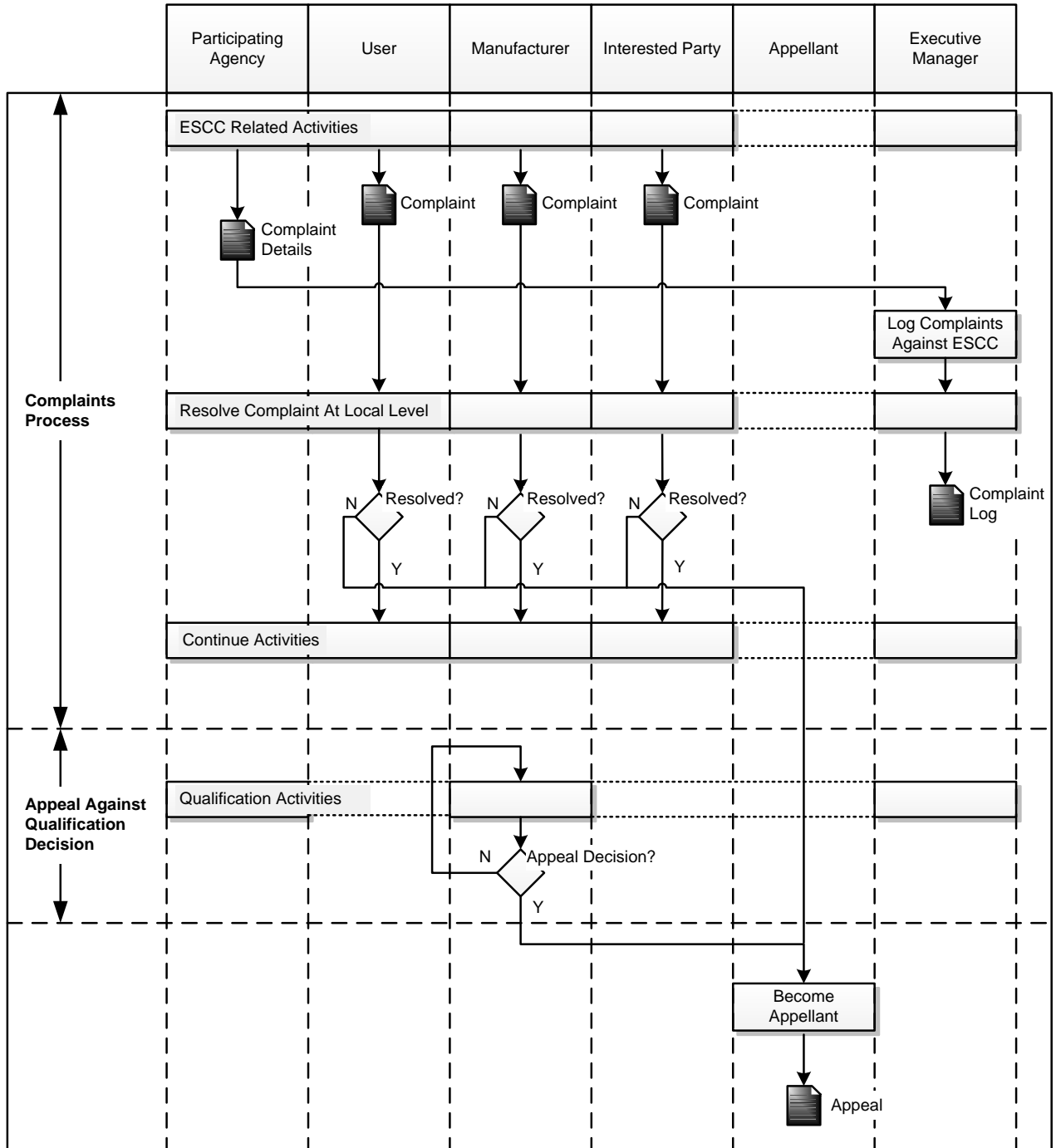
The SCSB Technical Secretary is also responsible for:

- The conduct of annual reviews of all complaints and appeals to identify areas where improvements can be made to the ESCC scheme.
- Ensuring that Complaints and Appeals are addressed during ESCC Internal Audits and the subsequent reporting.

The Executive Manager shall make complaints and appeals information available to the Technical Secretary for these purposes.

10 FIGURES

10.1 FIGURE 1 - APPEALS AGAINST QUALIFICATION DECISIONS AND COMPLAINTS



10.2 FIGURE 2 - APPEALS PROCESS

