



Procedure for Management of Complaints, Disputes and Appeals,		
EnE-CB-MG-POG-06	Environment and Energy Certification Body	

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1 Purpose

This documented procedure describes the consistent and systematic way of receiving, managing, evaluating and investigating disputes, complaints and appeals concerning reports / certificates or other activities related to validation/verification/certification activities.

It specifies the complaint management procedure of TÜV SÜD South Asia Pvt Ltd regarding the requirements of the “Environment and Energy Certification Body” (CB).

2 Scope of application

This documented procedure applies to all staff involved in validation/verification/certification activities.

3 Roles and responsibilities

The responsibility for the contents of this documented procedure and for processing disputes, complaints and appeals addressed to the “Environment and Energy Certification Body” (CB) concerned shall rest with the Quality Manager (QM).

4 Procedure / activities

Any person working in validation/verification/certification activities is obliged to receive, acknowledge and keep records of any client’s expression of dissatisfaction given orally or written, per telephone, e-mail, fax, letter, etc.

Complaint management should be documented and records should be kept as per the “Control of documents and records procedure”. The Quality Manager (QM) is responsible to keep track of any activity related to this procedure.

The documentation should include the following information as a minimum requirement: written justification of the dispute, complaint or appeal, the actions initiated and monitoring of the effectiveness of the process. The information is documented using the “Complaint Management Form”.


a. Definitions

Dispute: disagreement between a DOE and its client regarding the DOE’s recommendation and/or opinions/decisions made at various stages in the course of its validation and/or verification/certification activities.

Appeal: a request made by a client of a DOE for a formal review of a decision taken by such DOE in respect of its validation and/or verification/certification activities;

Complaint: formal expression of dissatisfaction, made electronically or in writing, regarding the performance of a DOE or its outsourced entities in relation to its validation or verification/certification functions, from any source including but not limited to clients, activity participants, the general public or its representatives, government bodies and non-governmental organization;

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Any dispute that is not solved by the audit team can be considered as a complaint or an appeal.

b. Procedure for Complaints

After an expression of dissatisfaction is received and acknowledged, the Quality Manager is to be informed.

The Quality Manager should define a person or team independent from those who are subject of the complaint, to obtain and to evaluate all necessary information for assessing the validity of the complaint. The tracking and recording complaints, including actions undertaken in response to them should be maintained by the Certification Body.

In order to assess the validity, following criteria should be taken into account:

- Is the complaint presented by a project participant (PP)?
- Is the issue related to work for which the DOE is responsible?
- In case of a complaint from non-PPs, is the entity real and is a stakeholder related to the activity?

In case that the assessment shows a validity of the complaint the designated team is responsible to evaluate the nature and to investigate the motives of the disagreement and then shall propose actions to clarify the situation using the “Complaint Management Form”.

In case the complaint is received from the PPs, the Certification Body shall acknowledge the complaint and inform further action and timeline for closure to PP within 7 working days. The progress of the process, where feasible should also be provided to the complainant.

In case if the complaint is received from UNFCCC, the timeline specified by them for response and closure shall be followed.

The designated team informs the Quality Manager of the result and they decide if the actions are enough to avoid the re-occurrence of such kind of issues.

The Quality Manager shall decide if the issue is considered to be a non-conformity. In such cases the “Elimination of non-conformities procedure” is to be followed.

The correct implementation of the actions to be taken is reviewed by the designated team and reported to the Quality Manager /. The Quality Manager will then report to top management.


The complainant is informed formally about the outcome of the investigation and the final decision of the complaint within 3 months from the receipt of the complaint.

During the complete process the complainant and the subject of the complaint are to be kept confidential.

c. Procedure for Disputes

After a dispute is received and acknowledged, the Quality Manager is to be informed.

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The Quality Manager should define a person or team independent from those who are subject of the dispute, to obtain and to evaluate all necessary information for assessing the validity of the dispute. The tracking and recording disputes, including actions undertaken in response to them should be maintained by the Certification Body.

In order to assess the validity, following criteria should be taken into account:

- In case of a dispute, is the disagreement presented by a project participant (PP)?
- Is the issue related to work for which the DOE is responsible?
- In case of a dispute from non-PPs, is the entity real and is a stakeholder related to the activity?

In case that the assessment shows a validity of the dispute the designated team is responsible to evaluate the nature and to investigate the motives of the dispute and then shall propose actions to clarify the situation using the “Complaint Management Form”.

In case the dispute is received from the PPs, the Certification Body shall acknowledge the dispute and inform further action and timeline for closure to PP within 7 working days. The progress of the process, where feasible should also be provided to the disputant.

In case if the dispute is received from UNFCCC, the timeline specified by them for response and closure shall be followed.

The designated team informs the Quality Manager of the result and they decide if the actions are enough to avoid the re-occurrence of such kind of issues.

The Quality Manager shall decide if the issue is considered to be a non-conformity. In such cases the “Elimination of non-conformities procedure” is to be followed.

The correct implementation of the actions to be taken is reviewed by the designated team and reported to the Quality Manager.

The disputant is informed formally about the outcome of the investigation and the final decision of the complaint within 3 months from the receipt of the complaint.

During the complete process the disputant and the subject of the dispute are to be kept confidential.

d. Procedure for appeals


After an appeal is received and acknowledged, the Quality Manager is called upon to clarify the issue or settle it amicably in the interest of both parties.

Should the appellant fail to agree to the solution, the Quality Manager shall establish an independent appeal panel.

The panel shall be composed of:

- At least one person from the CB who was not involved in the activity, subject to the appeal;
- Persons who are not involved in the project for which the appeal is made, including the technical review and final decision making
- Any number of neutral third parties as agreed with the appellant (not mandatory).

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The tracking and recording appeals including actions undertaken in response to them should be maintained by the Certification Body.

In case the appeal is received from the PPs, the Certification Body shall acknowledge the appeal and inform further action and timeline for closure to PP within 7 working days. The progress of the process, where feasible should also be provided to the appellant.

The communication channel, activities plan and timeline of the appeal panel are to be defined for each appeal case. The submission, investigation and decision on appeals should not result in any discriminatory actions against the appellant.

All necessary information for assessing the nature and validity of the appeal is to be presented from the CB (DOE) and client side.

The panel should investigate the motives of the appeal and decide on actions to be taken. The final decision shall be made by the independent appeal panel.

If the result of the investigation is a non-compliance with the requirements, the “Elimination of non-conformities procedure” shall be used.


The correct implementation of the actions to be taken is reviewed by the Quality Manager.

The appellant is informed formally about the outcome of the investigation and the final decision of the appeal panel within 3 months from the receipt of the appeal.

During the complete process, the appellant and the subject of the appeal are to be kept confidential.

In cases where the complainant / appellant is not satisfied with the decision, TSSA will inform the complainant / appellant that he has an option of complaining to the respective Scheme Owners, like A6.4 Supervisory Body, CDM Executive Board or Gold Standard or Global Carbon Council

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5 Other reference documents

- Complaint Management Form
- Elimination of non-conformities procedure
- Control of documents and records procedure
- Tracking sheet of complaints, disputes and appeals

6 Revision History

01/02/2024	Version 10: 1) Procedures for complaint and dispute are mentioned separately 2) Numbering of document has changed to align as per the changes in the internal structure 3) The name of the document has been amended from "Procedure Complaint Management" to "Procedure for Management of Complaints, Disputes and Appeals"
20/01/2024	Version 09:- Editorial changes to update as per CB requirements
15/06/2019	Version 08: Editorial changes to update as per CB requirements
10/04/2017	Version 07: Editorial changes to update as per CB requirements
10/03/2015	Version 06: Editorial changes to update as per CB requirements
12/12/2014	Version 05: Revision to address corrective actions proposed from internal audit
25/03/2013	Version 04: Revision to address corrective actions proposed
26/10/2012	Version 03: Editorial changes to update the document as per Indian CB requirements.
06/07/2012	Version 02: Inclusion of further requirements for the appeal panel in section 0.
01/12/2011	Version 01: Editorial changes for the inclusion of other standards.

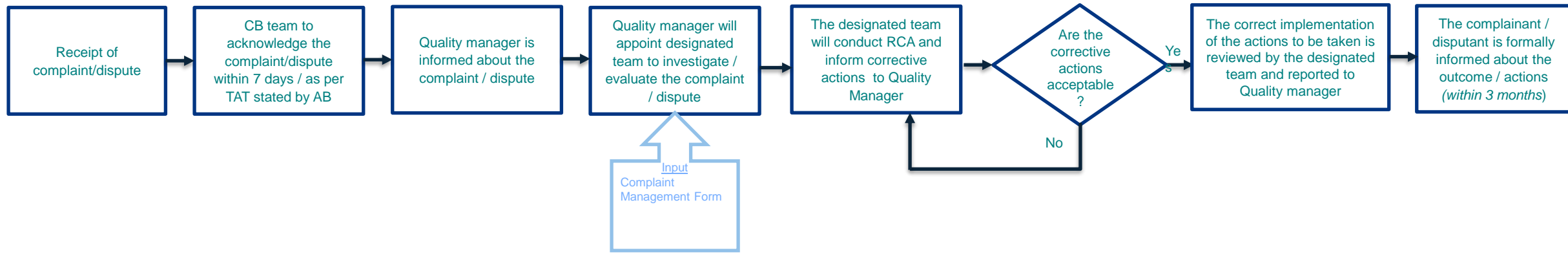
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Complaint and Appeal Handling Process



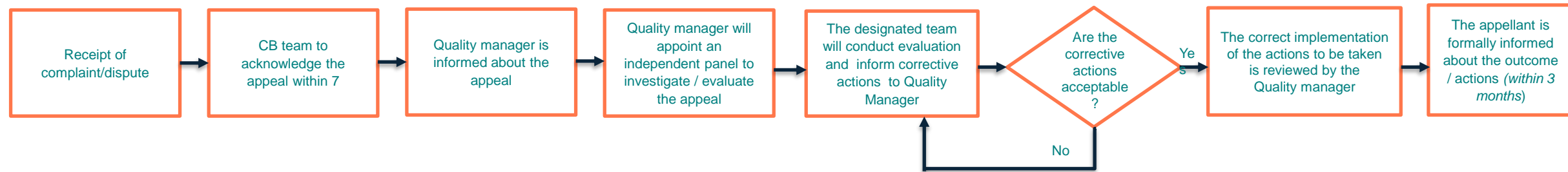
Complaint is an expression of dissatisfaction other than appeals by any person or organization to the DOE relating to its work

Complaint Handling



Appeal is a request by clients for reconsideration of a decision made in DOE's work

Appeal Handling



In cases where the complainant / appellant is not satisfied with the decision, TSSA will inform the complainant / appellant that he has an option of complaining to the respective Scheme Owners

***Terms used**
 TAT- Turnaround Time, AB – Accreditation Body, RCA – Root Cause Analysis