



<b>Procedure Complaint Management</b>		 Industrie Service
IS-CMS-MG-POG-06	Certification Body "climate and energy"	

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prepared / changed: IS-CMS-MUC 2011-11-28, Castro, Javier	approved: IS-CMS-MUC Tolcach, Eric	Page 1 of 5
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## 1 Purpose

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

It specifies the complaint management procedure of TÜV SÜD Industrie Service GmbH regarding the requirements of the Certification Body "climate and energy".

## 2 Scope of application

This documented procedure applies to all staff involved in CMS services.

## 3 Roles and responsibilities

The responsibility for the contents of this documented procedure and for processing disputes, complaints and appeals addressed to the Certification Body (CB) "climate and energy" concerned shall rest with the Head of the Certification Body.

The responsibility for the processing of disputes and complaints addressed to the Carbon Management Service shall rest with the Head of the Carbon Management Service (CMS) department.

## 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 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 the DOE/AIE and a client on the DOE/AIE's work.

**Appeal:** request by clients for reconsideration of a decision made in DOE/AIE's work.


**Complaint:** expression of dissatisfaction other than appeals by any person or organization to the DOE/AIE relating to its work.

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

### b. Procedure for Disputes and Complaints

After an expression of dissatisfaction is received and acknowledged the Head of the Department and/or the Head of the CB is to be informed.

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The Head of CB / Head of Department should define a person or team independent from those who are subject of the dispute or complaint, to obtain and to evaluate all necessary information for assessing the validity of the dispute or complaint.

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 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 dispute/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".

The team informs the Head of the CB or Head of the Department of the result and the addressed head decides if the actions are enough to avoid the re-occurrence of such kind of issues.

The Head of the CB 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 Head of CB / Head of Department.

The complainant/disputant is informed formally about the outcome of the investigation and the result.

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

### **c. Procedure for appeals**

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


Should the complainant fail to agree to the solution, the Head of the Certification Body may call in the spokesman of the Advisory Board for Certification / Impartiality Committee to act as arbitrator. The spokesman of the Advisory Board for Certification / Impartiality Committee may delegate arbitration to one of the members of the above mentioned Board. The decisions made by the spokesman of the Advisory Board for Certification/ Impartiality Committee or the member nominated shall be binding for the Certification Body.

In cases in which even the Advisory Board for Certification/ Impartiality Committee fails to come to an agreement an appeal panel is to be established.

The panel should be composed of at least one person from the CB (e.g.: DOE / AIE), at least one person from the client who was not involved in the project subject of the appeal and if necessary neutral third parties after the agreement with the appellent.

The communication channel, activities plan and timeline of the appeal panel are to be defined for each appeal case.

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

The panel should investigate the motives of the appeal and decide on actions to be taken.

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 Head of the CB.

The appellant is informed formally about the outcome of the investigation and the final decision of the appeal panel.

If there is no solution of the problem, the matter will be lodged to a court of general jurisdiction according to the contract conditions. Additionally, for CDM cases the DOE will inform the appellant that he has an option of complaining to the CDM Executive Board.

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

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## 5 Other reference documents

- Complaint Management Form
- Elimination of non-conformities procedure
- Control of documents and records procedure

## 6 Comments

01/12/2011	Version 01. Editorial changes for the inclusion of other standards.
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