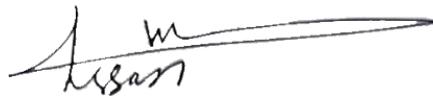


Complaints and Appeals Procedure

PR-07

Issue date 01-10-2025

A handwritten signature in black ink, appearing to read 'A. M. Hassan', with a long horizontal stroke extending to the right.

Purpose

To establish a documented process for receiving, evaluating, and making decisions on complaints and appeals related to the certification activities of TUV United and/or certified clients, ensuring impartiality, transparency, and compliance with ISO/IEC 17021-1:2025 and applicable conformity assessment standards.

Scope

This procedure applies to all complaints and appeals submitted by clients, certified organizations, or other interested parties regarding certification decisions or activities conducted by TUV United.

Responsibilities and authorities

Quality Manager	Oversees the handling of complaints and appeals and ensures corrective actions are implemented.
Top Management	Ensures decisions are impartial and the overall process is effective.

References

- MS-M-01: Management system Manual for Certification Schemes
- ISO/IEC 17021-1:2015
- ISO 22003-1:2022
- ISO/IEC 27006-1:2024
- ISO/IEC 20000-6:2017
- ISO 50003:2021
- ISO 21030:2023
- ISO-IEC-42006 : 2025
- ISO/IEC 27706: 2025

Definitions

Complaint	An expression of dissatisfaction with TUV United's certification activities or decisions, where a response is expected.
Appeal	A formal request for reconsideration of a decision made by TUV United.
Complaints and Appeals Committee	A group of impartial personnel responsible for evaluating and deciding on appeals.

Procedure

1. Receiving and Logging Complaints and Appeals

1.1 Complaints and appeals can be submitted through email, website forms, or written submissions.

1.2 Upon receipt, the complaint or appeal is logged in the Complaints and Appeals Form (F-01/PR-07).

2. Validating and Acknowledging Complaints and Appeals

2.1 The Quality Manager reviews the submission to confirm whether it relates to TUV United's certification activities.

2.2 Acknowledgment of receipt is provided within 5 working days.

2.3 If valid, the complaint or appeal proceeds to the investigation phase.

3. Handling Complaints

- Complaints are managed through a documented process that ensures fair, objective, and timely investigation and resolution in compliance with ISO/IEC 17021-1 an applicable standards and regulations.
- TUV United is responsible for all decisions at all levels of the complaints-handling process.
- Submission, investigation, and decision-making shall not result in any discriminatory actions against the complainant.

3.1 Steps for Handling Complaints

3.1.1 Receiving and Validating the Complaint:

- Complaints are received through designated channels and logged in the Complaints and Appeals Form (F-01/PR-07).
- The Quality Manager validates whether the complaint is related to certification activities.

3.1.2 Referring Valid Complaints to Certified Clients:

- If the complaint relates to a certified client, TUV United inform the client and examines the effectiveness of the client's management system.

3.1.3 Investigating the Complaint:

- The Quality Manager or an assigned impartial individual gathers and verifies all necessary information to validate the complaint.
- The investigation includes document reviews, interviews, and site visits, if necessary.

3.1.4 Decision-Making:

- Decisions regarding complaints are reviewed and approved by personnel not previously involved in the subject of the complaint.
- The decision is documented in the Complaint Report (F-02/PR-07).

3.1.5 Tracking and Corrective Actions:

- Actions taken to address and resolve the complaint are tracked using the Complaint Report (F-02/PR-07).
- Appropriate corrections and corrective actions are implemented.

3.1.6 Acknowledging and Communicating:

- TUV United acknowledge receipt of the complaint within 5 working days and provide progress updates as necessary.
- The final decision on the complaint is communicated to the complainant, along with a formal notice of the completion of the complaints-handling process.

3.1.7 Public Disclosure:

- TUV United determine, together with the complainant and the certified client, whether the subject and resolution of the complaint should be made public.

4. Handling Appeals

- Appeals are managed through a documented process in compliance with ISO/IEC 17021-1 and other applicable standards and regulations.
- TUV United is responsible for all decisions at all levels of the appeals-handling process.
- Personnel involved in handling the appeal are different from those who conducted the original audit or made the certification decision.

4.1 Steps for Handling Appeals

4.1.1 Receiving and Validating the Appeal:

- Appeals are received through designated channels and logged in the Complaints and Appeals Form (F-01/PR-07).
- The Quality Manager validates whether the appeal is related to certification decisions or activities.

4.1.2 Investigating the Appeal:

- The Quality Manager or an assigned independent reviewer is responsible for gathering and verifying all necessary information.
- The investigation considers the results of previous similar appeals, where applicable.

4.1.3 Decision-Making:

- The Complaints and Appeals Committee, comprising members not previously involved, evaluate the appeal and decide the necessary actions.
- The decision is reviewed and approved by individuals not involved in the original issue.

4.1.4 Tracking and Corrective Actions:

- Actions taken to address and resolve the appeal are tracked using the Appeal Report (F-03/PR-07).
- Any necessary corrections and corrective actions are implemented.

4.1.5 Acknowledging and Communicating:

- TUV United acknowledge receipt of the appeal within 5 working days and provide progress updates as needed.
- The final decision on the appeal is communicated to the appellant, along with a formal notice of the conclusion of the appeals-handling process.

5. Confidentiality and Non-Discrimination

5.1 All complaints and appeals are handled confidentially to protect the interests of the complainant or appellant.

5. 2 No discriminatory action are taken against the complainant or appellant for submitting a complaint or appeal

Records

- Complaints and Appeals Form (F-01/PR-07)
- Complaint Report (F-02/PR-07)
- Appeal Report (F-03/PR-07)

Related Documents

- MS-M-01: Management system Manual for Certification Schemes

Review and Revision

This procedure is reviewed annually by the Quality Manager and updated as necessary to reflect changes in the management system.