

COMPLAINTS, APPEALS AND INFORMATION REQUESTS

Definitions:

Complaints – A formal complaint from a Measured Entity against TLVT regarding the manner in which any aspect of the verification has been dealt with.

Appeals – A difference between the score a Measured Entity feels it's entitled to, based on the information provided prior to the verification decision, and the score awarded the Measured Entity by the Technical Signatory.

Information Requests – A request for information regarding the verification process or supporting documentation substantiating a score, from a Measured Entity or a third party unrelated to the verification, but reliant upon the certificate issued by TLVT.

APPEALS POLICY:

TLVT will consider appeals to its verification decisions. These appeals will follow a publicly available process, and personnel involved in investigating an appeal will be independent of initial verification personnel. In the event that there are no independent resources within TLVT this function will be outsourced to an independent competent person.

Investigation of and decisions on appeals will never result in discriminatory actions against the appellant.

Appeals will be dealt with in a timely manner and the appellant will receive progress reports and be informed of the outcome within a maximum of 30 days on the initial lodging of the appeal.

COMPALINTS POLICY:

TLVT welcomes complaints regarding its service from interested parties in order to ensure that it maintains a high level of customer satisfaction. These complaints will be dealt with in terms of a publicly available process, which shall be subject to the requirements for confidentiality.

All complaints will be resolved in a timely manner, keeping the complainant updated through progress reports and by formal notice, of the outcome.

If necessary, TLVT will follow its corrective action procedure to ensure that the root cause of the complaint is addressed.

Where a complaint relates to a measured entity, TLVT will refer the matter to the measured entity.

COMPLAINTS AND APPEALS PROCEDURE:

All complaints and appeals will be resolved within 30 days of receipt.

- All completed CAI forms are to be sent via email to the External Expert using the email address tlvtcai@gmail.com.
- The External Expert will sign the necessary confidentiality and impartiality undertakings contained in COR 06 Declaration Form and request a CAI number.
- The External Expert will acknowledge receipt of the complaint/appeal/information request to the complainant.
- The CAI is reviewed in order to determine whether an independent person is required to conduct the investigation.
- Appeals and Complaints will be investigated by an independent person. Requests and queries, do not necessarily require independence.
- The verification analyst and technical signatory that conducted the original on-site and review will not be involved in the investigation of a complaint or appeal.
- Written permission to hand the file/information to the External Expert will be obtained from the Measured Entity.
- The External Expert assigned to investigate the CAI will:
 - Acknowledge receipt of the request by signing the Investigation and Implementation Section of the request
 - Review the request and the information supporting the request
 - Review the circumstances giving rise to the complaint, or the reason for the dispute on the score, in a case of an appeal, and document the findings in the Details of Investigation and Root Cause Analysis (RCA) section of the request.
 - The RCA is completed to determine the cause of the action giving rise to the request.
 - Recommendations for corrective action are made.
- The findings will be sent to the General Manager who will authorise the implementation of any required corrective action and update the CAI register.
- Corrective action to be sent to the External Expert, who will forward to the complainant, and obtain confirmation that the complaint/appeal has been satisfactorily resolved.
- All completed CAI's are to be filed in the complaints/appeal file.

Information Requests:

All information requests will be resolved within 30 days of receipt.

- The interested party completes the CAI Request form, providing details of the request and emails the completed form to tlvtcai@gmail.com.
- The information request will be forwarded to the General Manager of TLVT by the External Expert.
- The General Manager will update the CAI register and allocate a number to the request.
- The General Manager will ascertain whether permission must be obtained from the Measured Entity for disclosure of the information, and if required requests permission in writing.
- Permission to disclose confidential information is attached to the request.
- An employee will be assigned to provide the information and once done, details the information provided, in the 'Reports and Acknowledgement' section of the request.

- The finalised request will be sent to the General Manager who will file the request in the CAI file (together with information provided) and update the CAI register.