



Complaints, Disputes & Appeals Procedure

Document Ref.

OPD-007.03 - Complaints, Disputes & Appeals Procedure

Document Owner

Robin Askey

Approval Signature

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Applies To		Clients, applicants, intended users (e.g. regulators, investors, carbon market participants) and other interested parties raising a complaint, dispute or appeal about EnviroSense's validation/verification activities, personnel conduct, or decisions. This is the external, client-facing route - distinct from the internal employee grievance route at OPD-007.06 and OP-007 §15.2.		
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1. Purpose and Scope

This procedure implements ISO/IEC 17029:2019 Clause 4.3.6 (Responsiveness to complaints), Clause 9.9 (Handling of appeals) and Clause 9.10 (Handling of complaints). It is read together with OP-007 §8 (Complaints, Disputes and Appeals), which this document expands upon in operational detail, and the Complaints & Appeals Register (OPD-007.05), in which every complaint, dispute and appeal is logged and tracked.

This procedure applies to complaints, disputes and appeals from:

- Clients (organisations undergoing verification or validation)
- Intended users (e.g. regulators, investors, carbon market participants)
- Other interested parties (e.g. NGOs, community groups)

It covers disputes and complaints regarding:

- The verification or validation process
- The competence or conduct of verification or validation personnel
- Verification or validation findings and conclusions
- A verification or validation decision made under OP-004 (handled as an appeal - see Section 6)

2. Definitions

Complaint: an expression of dissatisfaction, other than an appeal, by any person or organisation relating to EnviroSense's validation/verification activities, where a response is expected.

Dispute: a disagreement about the conduct of, findings from, or process followed during, a validation/verification engagement, raised before a final decision has been issued. A dispute is handled through the complaints process (Section 5) unless and until a decision has been issued, at which point Section 6 (Appeals) applies.

Appeal: a request by a client for reconsideration of a validation/verification decision made under OP-004.

3. Principles

The complaint, dispute and appeal handling process adheres to the following principles:

- **Impartiality:** the process remains neutral and ensures fairness. Personnel who were involved in the subject matter of a complaint, dispute or appeal do not participate in its investigation or decision (consistent with Clause 5.3.7).
- **Confidentiality:** sensitive information is protected in line with D.DMS-008 (Confidentiality Policy).
- **Timeliness:** complaints, disputes and appeals are addressed promptly within the defined timeframes set out below.
- **Transparency:** complainants and appellants are kept informed throughout the process.
- **Non-discrimination:** investigation, resolution and decision shall not result in any discriminatory action (Clauses 9.9.7 and 9.10.7).

4. Submitting a Complaint, Dispute or Appeal

Complaints, disputes and appeals must be submitted in writing via any of the following channels:

- Email: info@envirosenseltd.co.uk
- Postal mail: EnviroSense, Medius House, 2 Sheraton Street, Soho, London WF1 8BH or via the contact form [here](#):

[Enquiry Form – EnviroSense – Sustainability Monitoring, Reporting & Verification & Due Diligence](#)

The submission must include:

- Name and contact details of the complainant, disputant or appellant
- Description of the issue, including relevant dates
- Any supporting evidence
- For an appeal: the decision being appealed and the related engagement reference
- Expected resolution

Every complaint, dispute or appeal is logged in the Complaints & Appeals Register (OPD-007.05) with a unique Record ID, recording: Type, Date Received, Complainant/Appellant Name & Organisation, Related Engagement Reference (if applicable), Nature, whether it raises an Impartiality Concern (Y/N - if Y, the Impartiality Committee is notified immediately under OP-008), Received By, Acknowledgement Sent date, Investigation Findings, Decision/Outcome, Responsible Person, Response Due Date, Status and Closure Date.

If a complaint, dispute or appeal is submitted in a language other than English, EnviroSense and the person or organisation raising it will mutually agree on the language of communication.

5. Complaints and Disputes Handling Process

5.1 Acknowledgement

Acknowledgement of receipt is sent within 5 working days, including the Record ID for tracking (Clauses 9.10.4, 9.10.5).

5.2 Initial Assessment

The Managing Director evaluates the complaint or dispute to determine if it falls within the scope of this procedure and whether additional information is required (Clause 9.10.6). If it is outside scope, the complainant is informed and, where applicable, referred to the appropriate authority.

5.3 Investigation

An investigation is assigned to personnel independent of the original subject matter, to ensure no conflict of interest (Clause 5.3.7). The investigation may include:

- Review of records and evidence related to the complaint or dispute
- Consultation with relevant personnel involved in the verification or validation process
- Discussion with the person or organisation raising the complaint or dispute
- Assessment of compliance with ISO/IEC 17029:2019, ISO 14064-3:2019 and internal procedures

5.4 Decision and Resolution

A written decision is issued within 30 working days of receipt, along with investigation findings, any actions taken, and - where the matter concerns an appealable decision - the option to appeal under Section 6 if the complainant remains unsatisfied (Clauses 9.10.1-9.10.3, 9.10.8).

6. Appeals Process

6.1 Submission Window

A client may appeal a verification/validation decision made under OP-004 in writing within 20 working days of notification of the decision.

6.2 Logging

Every appeal is logged in OPD-007.05 in the same way as a complaint (Type: Appeal), identifying the decision being appealed and the related engagement reference.

6.3 Independence of the Appeal Decision

Appeals are considered by personnel not involved in the original decision (Clauses 9.9.6, 9.9.8). Where the original decision was made by the Managing Director, the appeal is considered jointly by both Directors, consistent with the escalation model in OP-007 §15.1.

6.4 Outcome

The appellant is kept informed of progress where applicable (Clause 9.9.4). The outcome of an appeal, and any consequential action (re-review, re-issue, or upholding of the original decision), is recorded in the Decision/Outcome field; the record is closed with a Closure Date and reported to the next management review.

7. Register Maintenance and Reporting

The Managing Director maintains OPD-007.05 and reports its status - open items, trends and outcomes - at every management review (OP-007 §10). Any record raising an impartiality concern is also reported to the Impartiality Committee (OP-008). Full field-by-field guidance for completing the register is held in its own Instructions tab and is not repeated here.

8. Public Availability of this Process

A description of this process is made available to any interested party (Clauses 9.9.5, 9.10.5), consistent with EnviroSense's Public Information & Openness Statement ISO/IEC 17029:2019 Clause Cross-Reference

Clause	Requirement	Addressed in
4.3.6	Responsiveness to complaints (principle)	Section 1
5.3.7	Independence of investigation/decision from original subject matter	Sections 3, 5.3, 6.3
9.9.1-9.9.2	Documented process for appeals; process content	Sections 4, 6
9.9.4-9.9.6	Acknowledgement, progress reports, outcome, body responsible for decisions	Section 6.4
9.9.7-9.9.8	Non-discrimination; decision independence	Sections 3, 6.3
9.10.1-9.10.6	Documented process for complaints; scope confirmation	Sections 4, 5
9.10.7-9.10.8	Non-discrimination; resolution independence	Sections 3, 5.4