

## Complaint, Dispute and Appeal Procedure

### DEFINITIONS

**Complaint** – A formal expression of dissatisfaction, made verbally, 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, such as clients, project participants, the general public or its representatives, government bodies, non-governmental organization, etc.

**Dispute** – A 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 for a formal review of a decision taken by a DOE in respect of its validation and/or verification/certification activities.

### Procedure for Complaints, Disputes and Appeals:

The procedures required to handle, document, address, resolve, and dispose of complaints, disputes, and appeals to the CLIMENSYS are as follows.

#### **Responsibility:**

- The Quality Manager of CLIMENSYS has overall responsibility and authority for ensuring that all complaints, disputes and appeal procedure are implemented.
- He/she is responsible to validate/verify the nature, importance and significance of the complaints.
- Shall assign a team who is independent of those who are part of or carried out the validation or verification/certification activities.
- Shall ensure that the person appointed as team member either have the same competency of the subjects to complaint or higher.
- Shall monitor, verify the implementation and its effectiveness to resolve the complaints, disputes and appeals.

The Clients, Project Participants, and stakeholders can communicate their complaints, disputes and appeals to [www.climensys.com](http://www.climensys.com).

#### **Safeguarding the Confidentiality:**

The team designated with investigating into the complaint, dispute, or appeal maintains and safeguards confidentiality. The team has also been recommended on the same. The handling process of the received complaints and disputes are detailed below:

## Process for complaints and disputes:

### *Receiving a complaint/dispute:*

The issue or complaint is acknowledged and forwarded to the Quality Manager, CLIMENSYS, for further action. The received complaints/disputes is recorded so that various stages of the complaint's progress can be tracked. Gather related information and requests the additional information if necessary and verify all necessary information for evaluating the validity of the complaints/disputes.

### *Criteria to determine the validity and authenticity of the complaints/disputes:*

Within 15 days, the complaint or dispute is examined to see whether it pertains to the CLIMENSYS's function.

- For complaints, the Quality Manager determines the validity of the complaints by evaluating if the complainant is a genuine stakeholder.
- For disputes, the Quality Manager determines the validity of the dispute by evaluating if it is formal and between the agreed parties.

If yes, then his/her Identity is established.

After that, it is determined whether the complaint/dispute is directly/indirectly related to the validation and verification function of CLIMENSYS and falls under one of the following categories:

- i) CDM validation and verification processes and decisions
- ii) Financial issues
- iii) Professional conduct
- iv) Project timeline or delay
- v) Discrimination
- vi) Procedures followed
- vii) Methodologies applied
- viii) Decision/ judgment

## Evaluation of the complaints/disputes:

### *Authentic and Valid Complaint/dispute:*

When a complaint or dispute is found to be genuine and valid, the following procedure is followed:

- Within three working days, inform or acknowledge the disputant or complainant in writing that the complaint has been received.
- Specify the timeline for resolving the grievance or dispute.
- Set up a 'Compliant, Dispute and Appeal Panel' (approved by Managing Director, CLIMENSYS) to address the problems and prepare the investigation process.
- All complaints and disputes are investigated within 30 days of its receiving date.
- The complainant or disputant are also emailed with the names of the persons appointed for the panel.
- Verify the information provided.

#### *Non-valid complaints/disputes:*

When a complaint or dispute is determined to be invalid, the non-validity is communicated to the client in writing along with an explanation of why the complaint or dispute has been denied.

However, if the client feels that the complaint has not been adequately resolved, he/she may resubmit it with relevant supporting documentation.

#### *Investigating a complaint/dispute:*

The complaint or dispute is given to the selected independent panel that is separate from the group who carried out the validation or verification activities. The MD and three other members of the investigation panel will look into the following:

- a) The reasons for the complaint or dispute
- b) Technical and methodological issues
- c) Ethical concerns
- d) Potential legal responsibilities of CLIMENSYS's employees
- e) Internal procedures that might have not been followed
- f) Suggestions for corrections and corrective actions

#### *Actions to resolve the complaints/disputes:*

The information that has been gathered, investigated, validated, and documented is used by the MD to decide on the actions. The client is consulted and informed of the action chosen. The matter is implemented and documented with proposed actions, corrections, and corrective actions if the client approves the actions or has agreed to establish a mutual consent.

The Quality Manager shall monitor the satisfactory implementation of proposed actions, corrections and corrective actions. The resolved process is documented.

Any information on the status/progress shall be made available to the client in the form of reports. The satisfactory closure is communicated in writing to the complainant/disputant and upon their acceptance the complaint/dispute is closed. The process is documented and archived.

The investigation outcome and the final notice at the end of the complaint handling process is send to the complainant.

When the complainant or disputant accepts the satisfactory resolution in writing, the complaint or dispute is resolved. The procedure is documented and archived.

#### **Appeal Process:**

The client has the option to appeal if they are dissatisfied with any decision of the CLIMENSYS in respect of its validation and/or verification/certification activities. The appeal should be provided to the CLIMENSYS with supporting evidences.

#### *Accepting appeals:*

The Quality Manager reviews the appeal within 15 days to determine its validity and authenticity. The appeal when found authentic and valid the following process is adopted:

- Acknowledge the receipt of appeal by informing the appellant in writing.
- Prepare the investigation process and constitute a 'Complaint, Dispute and Appeal Panel' to address the issues.

The Quality Manager ensures and record that appointed members for the appeal process differ from those who conducted the validation or verification/certification, technical review and final decision making.

#### *Non-valid Appeals:*

The Quality Manager must notify the appellant in writing and provide an explanation for the refusal if the appeal is found to be invalid. The appeal could be resubmitted by the appellant with a justification and supporting documentation.

#### **Investigating an appeal:**

If the appeal is valid, the Quality Manager shall inform the appellant in writing and should immediately establish an independent three-member 'Complaint, Dispute and Appeal Panel' to resolve the issues.

#### *Constitution of an Appeal panel:*

As a first step the appellant and the CLIMENSYS shall agree upon the constitution of a 'Complaint, Dispute and Appeal Panel' who is independent with the following consideration.

Quality Manager constitute an independent three-member panel with the approval of the Managing Director. The appointed members shall not have been involved in the project validation/verification or certification process.

#### *Avoidance of discrimination against the appellant*

Managing Director ensure by taking the below measures that the submission, investigation, and decision on appeals do not result in any discriminatory action against the appellant.

- (a) By appointing an independent panel
- (b) Maintaining the confidentiality about the appellant and subjects to appeal
- (c) Avoiding conflict of interest of the panel

#### *Corrections and corrective actions*

In case the investigation points towards non-conformity, appropriate correction and corrective action are taken to eliminate the gaps in the system, especially if investigation points towards any gaps in the system. Quality manager is responsible for the implementation of such correction and corrective action and their effectiveness.

#### *Actions to resolve the Appeals:*

When the Appeal Panel has finished its inquiry and has sufficient evidence, it renders a decision to end the appeal. In conjunction with the Appeal Panel, the Quality Manager shall submit written statements on the status and development of the appeals at time bound intervals.

The client is consulted and informed of the action taken. The matter is implemented and documented with proposed actions, corrections, and corrective actions if the client approves the actions or is willing to establish a mutual consent.

If the appeal cannot be resolved and the appellant decides to take the appeal further, then the Quality Manager must inform the appellant that the case can be forwarded to the CDM Executive Board for further action in accordance with their policies and guidelines.

If the appeal is successful, the appellant is informed in writing of the satisfactory conclusion, and the appeal is closed when they accept it. The procedure is documented and archived.