

## **PROCEDURE FOR HANDLING APPEALS/ COMPLAINTS AND DISPUTES**

### **PURPOSE AND SCOPE**

1. This procedure is to ensure proper handling of complaints, disputes and appeals, so as to minimize their recurrence.

### **DEFINITIONS**

2. Complaints: Formal (written) and/or informal (verbal) expressions of dissatisfaction / incompetence / project rejection in relation to EPICs CDM validation and verification functions, from any source, such as the UNFCCC, CDM clients organization, the general public or its representatives, government bodies, NGOs, etc.

3. Disputes: Disagreement between the DOE and the CDM service client (project participant) regarding the DOE's recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions.

4. Appeals: A CDM client organization's request for a review by an independent appeal panel on the decisions taken by the DOE in respect of validation and/or verification/certification functions services provided.

### **DETAILS OF PROCEDURE**

#### **Appeals Process**

5. All appeals are taken seriously and given a high priority for appropriate action. Formal proceedings will be initiated when the appeal is made in writing by the appellant in complaint form.(MSC/CDM/FOR 15-01) available in the public domain.

6. The submissions, investigation and decision on appeals do not result in any discriminatory actions against the appellant. Safeguards for confidentiality of the appellants and the subjects of the appeal would be covered in the contractual obligations with the client.

7. Appeals process includes an independent appeal panel responsible for the appeals process. The appeals panel shall comprise of the Managing Director, who acts as the coordinator and shall have three external decision making members not involved in any management or validation / verification process as panel members preferably chosen from impartiality committee on a case to case basis. Based on the type of issue, the appeals panel may take the services of an external legal/technically qualified person.

8. The panel members shall have at least 10 years of professional experience in science / engineering fields and terms of contract similar to impartiality committee shall apply.

9. Head-Operations shall advise the appellant in writing, of the contents of this procedure and also draw due attention to the panel. A copy of this procedure shall be supplied to the customer. Copies of all correspondence with the Appellant will be maintained.

10. The panel shall meet within 30 days from the date of receipt of the appeal. The date and location of the meeting will be sent to the appellant in writing, at least 7 days before the meeting requesting the Appellant to appear before the Appeal Panel.

11. The appeals panel shall hear the appellant. Minutes of the meeting shall be prepared in the relevant form with a copy maintained.

12. The decision of the Appeals panel shall be final and shall be recorded in writing, with copies to the appellant. The result of an Appeal may result in corrective or preventive actions being taken which shall be recorded in the relevant form (MSC/CDM/FOR 15-01) by the Head-Operations.

13. Appellant shall be informed about the decision of Appeals Panel and shall inform that the Appellant in case is not satisfied with the decision of the Appeal Panel, has an option of complaining to the CDM – EB or respective Accreditation bodies.

14. Head-Operations shall ensure that the submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant.

### **Complaints & Disputes**

15. Head- Operations, when receiving a Complaint, or dispute by whatever means (phone, e mail etc.) completes the relevant form. All Complaints and disputes shall be recorded in appropriate form. (MSC/CDM/FOR 15-01)

16. Head- Operations shall acknowledge the receipt of complaints or dispute to the complainant or disputant. The validity of the complaint / dispute shall depend on the scope of the definition pertaining to the services related to the definition of the terms as above.

17. EPIC shall ensure that the personnel engaging in the complaints / disputes handling process are different from those who carried out the validation or verification and certification activities for the specific project.

18. Head-Operations shall gather and verify all necessary information for evaluating the validity of the complaint/dispute, investigating the complaint/dispute and for deciding what actions are to be taken in response to it.

19. After investigating the cause of the Complaint and taking any necessary corrective action, the Head-Operations shall write to the person who made the Complaint/dispute advising them of the actions taken and closing the matter. All Complaint letters will be filed in the Complaints file. All the complaints/disputes will be dealt expeditiously. Safeguards for confidentiality of the complaint / dispute and the subjects of the complaint / dispute would be covered in the contractual obligations with the client.

20. All the complaints/disputes shall be recorded in the relevant form. A complaint or dispute may result in a corrective or preventive action.

21. All Complaints/disputes, relevant actions taken and any trends identified after analysis of Complaints/Disputes will be discussed at the next management review meeting.

22. Head-Operations will ensure that the appropriate correction and corrective actions are taken to safeguard the confidentiality of the complainant and subject of the complaint. This process will be subjected to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.

23. Possible preventive measures with a view to reduce or eliminate the Appeals, Complaints and Disputes shall be discussed during every management review meeting.

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| Prepared by     | Approved by      |
| Quality Manager | Head- Operations |

### APPENDIX / RECORDS

| Document Title | Document Reference | Record | Storage     |
|----------------|--------------------|--------|-------------|
| complaint form | MSC/CDM/FOR/15-01  | Yes    | Client File |

### APPROVAL RECORD

| Issue No. | Rev. No. | Details of Revision                  | Effective date |
|-----------|----------|--------------------------------------|----------------|
| 1         | 0        | All clauses                          | 20.03.2011     |
| 1         | 1        | All clauses                          | 27.12.2011     |
| 1         | 2        | All clauses                          | 19.01.2012     |
| 1         | 3        | All clauses                          | 21.09.2012     |
| 2         | 0        | Terms of reference of panel members  | 20.03.2013     |
| 2         | 1        | Updates to definition of complaints  | 10.12.2014     |
| 2         | 2        | Updates to appeals panel composition | 05.11.2017     |
| 2         | 3        | Editorial updates                    | 10.10.2021     |