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Procedure for Handling Complaints, Appeals and Disputes

CEPREI Certification Body

Page of Approval

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Records of Document Amendments

No.	Before Amendment	After Amendment	Date of Amendment
1	The partial content cannot meet the relevant requirements of Accreditation Standard	<ol style="list-style-type: none"> 1. Modify the section 3.1.5.1 to address complaint handling; 2. Modify the section 3.2.3 to address dispute handling. 3. Modify the section 3.1.2&3.2 to determine the validity of complaint and dispute 4. Modify the section 3.1.4.3 to address the communication with the appellant 5. Change the name in para 1.2 6. delete the relevant content of section 3.1.5.4 due to the original statement was not applicable 7. Modify the section 3.1.4.5 to address appeal outcome notification; Modify the section 3.1.5.5 to address complaint outcome notification; Modify the section 3.2.3 to address dispute outcome notification; 8. Modify the section 3.2 to add requirements for investigation for evaluating the dispute validity 	12 th Dec 2009

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1 Purpose and scope of application

1.1 Purpose

To ensure fast and appropriate handling of disputes, complaints and appeals relating to CEPREI climate change service communicated by a customer, a potential customer and other related party.

1.2 Definition and Scope of application

For the purpose of this procedure:

Customer is a company which holds a contractual relationship with CEPREI.

Potential customer is a company which has requested a service from CEPREI.

Related party: An organization and/or body related to CEPREI on the basis of common ownership and/or governance, personnel, shared resources, finances, contracts, marketing and payment of commission or other inducement for bringing in business or the referral of new clients, etc.

Complaints: Formal (written) and/or informal (verbal) expressions of dissatisfaction regarding the performance of CEPREI in relation to its CDM function, from any source, such as the CDM client's organization (CDM PP), the general public or its representatives, government bodies, NGOs, etc.

Appeals: A CDM client's organization (CDM PP) request for a review by an independent body of various decisions taken by CEPREI in respect of validation, verification/certification functions.

Disputes: Disagreement between CEPREI and the project participant regarding CEPREI's recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions.

2 Responsibilities and Process Overview

2.1 Responsibilities

Administration Department is responsible for routine management of complaints/appeals and further appeals. In addition, it handles complaints/appeals only related to some minor wording mistakes. **If the appeal/complaint/dispute is about the activities of Administration Department, the responsibilities of Administration Department stated in this procedure will be conducted by Management Representative (Quality Manager) or other independent person**

designated by Management Representative (Quality Manager).

Management Representative (Quality Manager) is responsible for determining the nature of complaints/appeals, assigning related departments for handling, and verifying the effectiveness of complaint and appeal handling. If the appeal/complaint/dispute is about issues the Management Representative involved, the responsibilities of Management Representative stated in this procedure will be conducted by President instead.

Technical Committee is responsible for handling appeals related to technical issues.

2.2 Process Overview

Scope: This process addresses responses to

- Disputes
- Complaints and
- Appeals

Requests for review/review processes by the EB are not covered by this procedure.

Input: Disputes, complaints, and appeals from customers, potential customer or other parties.

Output: A response and an appropriate action.

3 Work procedure

All the appeals/complaints/disputes that have been in lawsuit will not be considered acceptable to this procedure. But CEPREI will review the consequence to determine if there are actual or potential weaknesses in CEPREI's system and take necessary actions.

Appeals/complaints/disputes relate to issues not under CEPREI's authority will be considered invalid.

Appeals/complaints/disputes that are not related to CEPREI CDM business will not be considered acceptable to this procedure.

The appeals/complaints/disputes handling process shall be subject to confidentiality requirements. The privacy and identity of the appellants/complainants/disputes raisers and the subject of appeals/complaints/disputes shall be protected to the maximum extent possible.

3.1 Complaints/appeals

3.1.1 Lodging complaints/appeals

Complaints/appeals may be lodged after the completion of validation/verification work or happening of incidents. The complainant/appellant may contact CEPREI Certification Body by telephone, fax, e-mail, mail or visit to lodge complaints or appeals. The complainant should sign his/her name and provide necessary investigation evidence and clues.

3.1.2 Submission of complaints/appeals

The complainant/appellant should submit written complaints/appeals, which include the reasons for complaints/appeals, requirements, and substantiation. Complaints/appeals by organization should be signed by organization responsible person or stamped with its official seal, and complaints/appeals by individual person should be signed personally.

CEPREI records and retains anonymous complaint as the reference for operation improvement. While CEPREI will organize to investigate complaint signed in a timely manner.

Overseas complainant/appellant may entrust organization and person in Mainland China as deputy to deal with complaints/appeals. The deputy should submit trust deed of the overseas complainant/appellant together with written complaints/appeals.

Criteria for determining the validity of Appeal

- The appeal must relate to decisions made under CEPREI's authority and responsibility, including but not restricted to decisions on the assessed project activity, decisions on refusal of validation/verification/certification application, decisions on discontinuing validation/verification.
- All appeals shall be submitted in writing within 60 workdays after the appellant's acknowledgement of the related decision.
- Where appropriate appeals should be accompanied by a documentation of evidences.

Criteria for determining the validity of complaints

The complaints must relate to issues under the authority of CEPREI, including but not restricted to: CDM validation and verification judgments; non-professional behavior; financial mismanagement; unethical behavior; discrimination;

untimeliness; violation of conflict of interests; violation of confidentiality.

- All complaints shall be submitted in writing
- Where appropriate complaints should be accompanied by a documentation of evidence.
- At the discretion of CEPREI, oral complaints may be investigated following this procedure.

3.1.3 Acceptance of complaints/appeals

3.1.3.1 Administration Department is responsible for receiving, communicating, and coordinating the complaints/appeals;

3.1.3.2 Upon receiving complaints/appeals, Administration Department has responsibility to assess whether they are valid under the criteria of validity.

3.1.3.3 If the complaints/appeals are verified to be valid within the scope of acceptance, Administration Department should inform the complainant/appellant and fill in *Registration Form for Complaints/Appeals*. If the complaints are just about document editing problems, they will be handled directly by Administration Department. If possible, Administration Department will inform the handling process or results of appeals or complaints to appellant or complainant.

3.1.3.4 If the complaints/appeals are assessed as invalid, Administration Department should state the reason for refusal to the complainant/appellant.

3.1.3.5 Management Representative is responsible for determining the nature of complaints/appeals and assigns related departments or suitable team for handling.

3.1.4 Handling appeals

3.1.4.1 Technical Committee appoints trustworthy people, who should not have participated in the validation and certification decision making process, to constitute a task team to handle appeals. Any person involved in appeal issues and affecting impartiality in the recent two years should not participate in the investigation

3.1.4.2 Administration Department should, according to appeal issues, prepare relevant materials and submit them to the task team members.

3.1.4.3 The task team should discuss appeal requirements and relevant information and materials. If necessary, the task team should communicate with relevant personnel, take filed investigation, refer to results of similar appeals and submit resolution proposal. **The progress on appeal investigation and handling will be provided to the appellant.**

3.1.4.4 Lodging/investigating/deciding appeal should not result in any act of discrimination against the appellant.

3.1.4.5 After being confirmed by CEPREI President or the authorized management of CEPREI not involved in the processes/activities which the appeal is against, the final decision for the appeal and the notice of end of appeal handling process will be recorded and delivered to the appellant by Administration Department .

3.1.4.6 Management Representative of CEPREI follows up the measures taken to resolve the appeal, determines the necessity of taking further amendment or corrective actions and instructs relevant departments to implement.

3.1.5 Handling complaints

3.1.5.1

Management Representative is responsible for determining related departments for handling or constituting a task team in accordance with the nature, impact, complexity and urgency of the complaint. Only persons different from those who carried out the validation/verification/certification activities can be selected to handle the complaint.

3.1.5.2 For the complaint on customer, it should inform the customer in an appropriate time.

3.1.5.3 Expect legal requirements or requirements of accreditation bodies, CEPREI confidentiality requirements are applicable to the complaint management and handling process of CEPREI related to the complainant or complaining matters.

3.1.5.4 The complaint handling team should be responsible for collecting and verifying information required for complaint confirmation and information related to the complaint. If necessary, the department should communicate with relevant personnel, take field investigation and submit resolution proposal. The progress on complaint investigation and handling will be provided to the complainant whenever the complainant request.

3.1.5.5 CEPREI President or the authorized management of CEPREI not involved in the processes/activities which the complaint is against, will review the proposal and decide the resolution. The resolution on outcome and end of the complaint handling process shall be communicated to the complainant and the subject of investigation. If no further issues arise, CEPREI will deem the complaint to be resolved and all the records for handling the complaint will be filed.

3.1.5.6 Management Representative of CEPREI determines the necessity of taking further correction or corrective actions according to the complaint resolution and instructs relevant departments to implement.

3.1.5.7 The disclosure and the extent of disclosure of complaints should reach a common agreement of CEPREI, customers and complainants.

3.2 Disputes Handling

3.2.1 Criteria for determining the validity of dispute

- The dispute must relate to disagreement to the issues to be used as requirements or guidelines under CEPREI authority in its CDM business, including but not limited to procedures, methodologies and criteria of judgment.
- All disputes shall be submitted in writing.
- Where appropriate disputes should be accompanied with documented justification statement and supporting materials.
- At the discretion of CEPREI, oral disputes may be investigated following these procedures.

3.2.2 Acceptance of dispute

- Any disputes that happened during the validation/verification process and did not reach agreement will be recorded by the team leader with justification of both parties and submitted to Management Representative. Other disputes from clients and other interested parties will be submitted to Administration Department.
- The receiver shall assess if the dispute is valid under the above criteria, including gathering and verifying all necessary information. The receipt of a dispute shall be acknowledged to the related parties within 15 workdays. Acknowledgement shall include a preliminary assessment of validity, a statement of whether or not the dispute will be investigated, and a copy of this CEPREI procedure.
- If a dispute is deemed to be invalid or irrelevant by CEPREI, this will be stated to the party raising the dispute, accompanied by the reasons.

3.2.3 The work rules of handling dispute

- Where a dispute is considered valid an investigation shall be carried out. The Management Representative or President will appoint persons or a team to

conduct the investigation. The appointed investigator shall be different from those who carried out the validation or verification and certification activities.

- The investigator shall collect related information and review the justification from related parties. If the dispute reveals the CEPREI CDM requirements are not being followed, the investigator shall determine the reason. If the requirements and guidelines are followed, these would be justified in light of the dispute. In case where there is a lack of requirements or guidelines the investigator shall determine the need for further document preparation. The investigator shall present findings to Management Representative/President together with recommendations for appropriate actions, if any.
- The progress in resolving the dispute shall be communicated to the dispute related parties as they request.
- The M.R/President will review the presentation from the investigator and make final decision on the resolution of the dispute. Administration Department will inform the related parties the outcome and end of the dispute handling process.
- The Administration Department will keep and maintain records of disputes received, notice, or acknowledgements, investigation, findings and necessary actions.

3.3 Corrective actions and verification of effectiveness

Management Representative analyzes appeals/complaints/disputes to determine the correction and the necessity of taking further corrective actions and decides the functions responsible for establishing and implementing corrective actions and verifies the effectiveness of corrective actions.

3.4 Expenses

The expenses for handling complaints/appeals should be born by the loser.

3.5 Preparation

CEPREI President and management representative take charge of preparation of Procedure for Handling Appeals/Complaints. The people in charge of functions involved in the procedure shall make sure the handling personnel are equipped with

competence in judging and handling relevant issues.

4 Relevant Documents and Quality Records

Registration Form for Complaints/Appeals

