



华夏认证中心有限公司  
China Certification Center. Inc

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# **Handling of Complaints, Appeals and Disputes Procedure**

(Version 02.0)

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Approved on: 04 August 2014

Prepared by: Luo Peng

Reviewed by: Zhou Hong

Approved by: Wang Jing

Address: Floor 6 Taiji Commercial Building, No. 211 Beisihuan Zhonglu, Haidian District, Beijing,  
P.R. China. Zip Code: 100083  
Website: <http://www.ccci.com.cn>

## History of the document

Version	Date	Nature of revision
01.0	22 April 2014	Initial adoption
02.0	04 August 2014	Inclusion of provision about acknowledging receipt of complaints, appeals and disputes, and reporting new progresses to the complainant, appellant, and disputant.

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## 1. Purpose

The purpose of writing this procedure is to ensure fast and appropriate handling of disputes, complaints and appeals relating to CCCI's validation and/or verification/certification functions communicated by a customer, a potential customer and/or validation/verification stakeholders. This procedure is publicly available on CCCI's official website for ensuring the transparency and better understanding of the handling process.

## 2. Responsibilities

- Complaints, appeals and disputes handling Committee
- Quality Manager of GHG Validation and Verification Department
- Client Account Manager of GHG Validation and Verification Department (CAM)
- Validation and Verification Team of GHG Validation and Verification Department
- Director of GHG Validation and Verification Department

## 3. Application

### 3.1 Definitions

**Complaint:** Formal expressions of dissatisfaction, made verbally, electronically or in writing, regarding CCCI's CDM functions, from any source, such as the client, project participants, the general public or its representatives, government bodies, non-governmental organization, etc.

**Appeal:** A request made by a client for a formal review of a decision taken by CCCI in respect of validation and/or verification/certification functions.

**Dispute:** Disagreement between CCCI and its client regarding recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions.

**Complaints, Appeals and Disputes Handling Committee:** Committees that handles disputes and reviews dissatisfaction, appeal requests regarding CDM function(s).

### 3.2 Complaint process

Complaints are expressed and communicated to CCCI either made verbally, electronically or in writing.

If complaint was made verbally, complaint will be recorded using the "**Complaint/Appeal/Disputes Record Form**" by the personnel receiving the complaint and it will be passed to the Client Account Manager.

The Client Account Manager sends a copy of the completed form to the complainant in order to obtain confirmation whether the complaint was appropriately stated and seeks confirmation.

On the other hand, the "**Complaint/Appeal/Disputes Record Form**" is also available on CCCI's website.

For written complaints, the complainant could complete this form and send it to the Client Account Manager via email.

In both cases (complaints made written or verbally), the Client Account Manager records the complaint using the "**Complaint/Appeal/Disputes Record Form**" and the process continues as defined below.

The validity of complaints is assessed by the Client Account Manager together with the Director of GHG Validation and Verification Department, in terms of whether the system is at fault or not. This is important as trends will be monitored in the nature of complaints to reduce repetitive causes and used as an incentive to improve the quality of the service provided.

Validity of complaints is based on criteria specified below:

- Delays in delivery of the service,
- Violation of conflict of interest,
- Competency of the validation/verification team,
- Customer service,

- Actions that is contrary to the UNFCCC, CDM, legislative requirements and/or CCCI validation & verification manual and procedures,
- Comments received during the publicly available comment period, which CCCI has not taken into account,
- Actions carried out or caused by CCCI personnel relating to CDM PPs (nonprofessional behaviour, unethical behavior, breaches of confidentiality, etc).

The corresponding information regarding above mentioned criteria shall be gathered by requesting evidences from complainant, checking internal records, reviewing related documents, regulations, standards and requirements. The Client Account Manager is responsible for gathering evidences.

Upon receiving the complaint, the Client Account Manager sends the complainant a confirmation of the received complaint, within five business days. The Client Account Manager shall keep the complainant posted on the new progresses by email.

Simultaneously, the Quality Manager initiates an internal investigation via using the “Root Cause Analysis Report Form”, answering the questions until section 3, in an explicative manner and submits it to the Client Account Manager.

Sections followed by section 3 of this form will be filled out only after the Complaints, appeals and disputes handling Committee concludes a decision and if necessary, a corrective/preventive action will be initiated.

Followed by the preparation of the root cause analysis report (until section 3), the Client Account Manager informs the related Complaints, appeals and disputes handling committee members by issuing a call for a committee meeting via e-mail. It will be ensured that the committee meets in the shortest possible time.

The complaints are evaluated with respect to the confidentiality policy and its validity. Each committee member is to sign a “**Confidentiality Declaration**” prior to reviewing any document.

Complaints, appeals and disputes handling Committee will ensure that:

- Complainant was informed that CCCI has received the complaint,
- Sufficient information is obtained from involved parties,
- Validity of the complaint is verified,
- Appropriate investigation is carried out,
- Details of the complaint are recorded, and
- Appropriate corrective/preventive action is requested, if necessary.

If needed, Complaint, appeals and disputes handling Committee may ask for technical information assistance from a team leader and/or validator/verifier with the required technical competence.

The Committee<sup>1</sup>, co headed by the Quality Manager, will complete their investigation within 15 days of the meeting date and submit their opinion in a report format to the Client Account Manager.

Followed by the committee meeting, if the decision is ruled for the complainant, the Client Account Manager notifies the Director of the GHG Validation and Verification Department and the Director continues to fill out the remaining section 4 of the “**Root Cause Analysis Report Form**”. Upon the “**Root Cause Analysis Report Form**” is completed by the Director, the Client Account Manager informing the complainant of the outcome of the investigation and the final decision (solutions/corrective actions/preventive actions).

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<sup>1</sup> The Complaints, appeals and disputes handling committee consists of the Quality Manager, Client Account Manager, senior staffs of the Validation/Verification Team, and senior staffs of the Technical Review Team. However, when handling a case, the committee shall ensure that the persons engaged in the complaints handling process are different from those who carried out the validation or verification/certification activities.

In this case, if necessary, an appropriate corrective action will be taken by the GHG Validation and Verification Department and the effectiveness will be monitored by the Quality Manager.

Followed by the committee meeting, if the decision is ruled against the complainant, the Client Account Manager informs the complainant about the outcome of the committee meeting and discusses a solution.

The complaint is settled when the complainant accepts the suggested solution or if the parties reach a mutual agreement.

Committee meeting results are noted in the “**Meeting Minutes Form**”, which are kept as a record in the GHG Validation and Verification Department.

All complaints are summarized during management review meetings.

In case of a complaint against the Quality Manager, Client Account Manager, the investigation will be handled solely by the Director.

In case of a complaint against the Director, the validity of the complaint is assessed by the Client Account Manager together with the Quality Manager, within the frame of above stated criteria.

Followed by the assessment, the process continues as stated above.

Once the complaint case has been closed, CAM shall collect all records and keep them in the archives.

### **3.3. Appeals process**

The appeal procedure is applicable only to clients which have a contract with CCCI.

The client may only appeal to CCCI within 10 working days after receiving CCCI’s validation statement or certification decision.

Client Account Manager is in charge of the appeal process. Following the reception of the appeal request, the Client Account Manager records the appeal using the “**Complaint/Appeal/Disputes Record Form**”. In order to ensure that the submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant, Quality Manager shall keep the appellant’s name confidentially.

Upon receiving the appeal, the Client Account Manager sends the appellant a confirmation of the received appeal, within five business days. The Client Account Manager shall keep the appellant posted on the new progresses by email.

Followed by sending the confirmation, the Client Account Manager informs the related committee members<sup>2</sup> by issuing a call for a committee meeting via e-mail. It will be ensured that the committee meets in the shortest possible time.

The appeals are evaluated with respect to the confidentiality policy and its validity.

To ensure the validity of appeals, the client account manager shall confirm the appeals are relevant to the contracted project.

The Committee will investigate the file and assess the accuracy of the relevant information, make an analysis and conduct an on-site investigation, if necessary.

The Committee will complete their investigation within 30 days of the meeting date and submit their opinion in a report format to the Client Account Manager.

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<sup>2</sup> When handling an appeal case, the committee shall ensure that the persons engaged in the appeal handling process are different from those who conducted the validation or verification/certification, including the technical review and final decision-making.

The appellant is informed formally by the Client Account Manager about the outcome of the investigation and result of the appeal.

Committee meeting decisions are noted in the “**Meeting Minutes Form**”, which are kept as a record in the GHG Validation and Verification Department.

If the investigation points towards a non-conformity, appropriate corrections and corrective actions are taken to eliminate the gaps in the system, especially if the investigation points towards any gaps in the system. The effectiveness will be monitored by the Quality Manager. According to “GHG CDM\_Procedure\_008\_Corrective and Preventive Actions Procedure”, the corrections and corrective actions undertaken shall be tracked and recorded by “Corrective/Preventative Action Request Form” and “Corrective and Preventive Action Follow-Up Form” by the Quality Manager.

In case the appellant is not satisfied with the final decision of the Committee, the quality manager shall inform the appellant that it has the option of making a complaint to the CDM Executive Board.

### 3.4. Evaluation of disputes

Any disputes which may occur during the validation/verification function and did not reach an agreement are recorded by the validation/verification Team Leader with justification of both parties and submitted to the Client Account Manager.

Disputes are recorded using the “**Complaint/Appeal/Disputes Record Form**”.

Upon receiving the dispute, the Client Account Manager sends the disputant a confirmation of the received dispute, within five business days. The Client Account Manager shall keep the disputant posted on the new progresses by email.

Client Account Manager then informs the Complaints, appeals and disputes handling Committee by issuing a call for a committee meeting via e-mail. Committee will make the final decision on the disputed matter. Committee shall ensure that the persons engaged in the complaints handling process are different from those who carried out the validation or verification/certification activities.

Committee assesses whether dispute is valid based on criteria specified below, including gathering and verifying all necessary information:

- If the dispute relates to a disagreement or argument between the client and CCCI about a decision CCCI or client has made;
- Any matter or issue in dispute between the parties arising out of or connected with the contract;
- Dispute relates to application of a CDM methodology;
- Non-fulfilment of CDM requirements.

Disputes shall be considered invalid:

- If the above mentioned criteria are not verified, or
- If CCCI was acting in a manner necessary to fulfill the CDM requirements and the decision regarding the dispute was justified.

If a dispute is deemed to be valid, an investigation will be carried out by the Complaints Committee.

Each committee member is to sign a “**Confidentiality Declaration**” prior to reviewing any document.

Complaints Committee will ensure that:

- Disputant was informed that CCCI has received the disputed matter,
- Sufficient information is obtained from involved parties,
- Validity of the dispute is verified,
- Appropriate investigation is carried out,

- Details of the dispute are recorded, and
- Appropriate corrective/preventive action is requested, if necessary.

The Committee will complete their investigation within 15 days of the meeting date and submit their opinion in a report format to the Client Account Manager.

The disputant is informed formally by the Client Account Manager about the outcome of the investigation and result of the dispute.

If the investigation points toward a non-conformance, appropriate corrective action will be taken by the GHG Validation and Verification Department and the effectiveness will be monitored by the Quality Manager.

Committee meeting results are noted in the “**Meeting Minutes Form**”, which are kept as a record in the GHG Validation and Verification Department.

If the investigation indicates misconduct on the part of CCCI Validation/Verification Team, disputed matter is discussed and assessed during Management Review Meetings.

#### **4. Related Documents**

GHG CDM\_Form\_008\_Root Cause Analysis Report Form

GHG CDM\_Form\_009\_ Meeting Minutes Form

GHG CDM\_Form\_010\_ Complaint/Appeal/Disputes Record Form

GHG CDM\_Form\_011\_ Corrective/Preventative Action Request Form

GHG CDM\_Form\_012\_ Corrective and Preventive Action Follow-Up Form

GHG CDM\_Declaration\_001\_Confidentiality Declaration – Committee Members

GHG CDM\_Procedure\_008\_Corrective and Preventive Actions Procedure