

Global Instruction

DC-GHG 003

Rev. 04

Complaints, Disputes and Appeals



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1. Process-Owner

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2. Scope of Application

The present procedure governs the handling of appeals, disputes and complaints directed towards GLC's GHG services. The procedure applies to all appeals, disputes and complaints regardless of the source which submits a complaint, dispute or appeal against GLC' GHG services or its representatives, including, but not limited to interested parties whose project we have validated/verified and any entity which has an appeal, dispute or complaint regarding GLC' GHG services or the conduct of our employees or contractors.

Definitions

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

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

Appeals: A CDM client organization's (CDM PP) request for a review by an independent appeal panel of various decisions taken by GLC in respect of validation and/or verification/certification functions.

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3. Process description

3.1 Principles

All appeals, disputes and complaints will be recorded and handled confidentially and impartially. Every complainant, organization raising a dispute and appellant respectively will not be discriminated against. Persons handling the complaint, dispute or appeal have to be independent and not involved in the project or process related to the complaint, dispute or appeal.

3.2 Process and responsibilities

(1) Everybody working for or on behalf of GLC is obliged to record an appeal, dispute or complaint towards the GHG services group. The recipient of an appeal, dispute or a complaint uses a special form – the complaints, dispute and appeals form – to record them and forwards the note to the Quality Representative immediately.

In addition, the GLC GHG services website comprises a form which can be used directly by any stakeholders and forwarded to the Quality Representative.

(2) The QR conducts an assessment whether a complaint, dispute or appeal is valid or not. As the complaints, disputes and appeals may vary and differ based on the nature and content there is no overarching list of validity criteria's and this review will be conducted on a case by case basis. However, all complaints, disputes and appeals which concern alleged breaches of contracts (e.g. lack of confidentiality, exceeding of deadlines, and the like), alleged improper behaviour of GLC staff (e.g. biased behaviour, incompetence, etc.), dissatisfaction with a GLC decision (findings, validation/verification decision etc.) will be followed-up with by the QR. In case the complainant, person raising a dispute or appellant can not provide any reason for the complaint, dispute or appeal the QR is entitled to reject the complain, dispute or appeal directly.

(3) The complainant or appellant shall receive a confirmation of the received complaint, dispute or appeal within five working days by the Quality Representative.

(4) The Quality Representative conducts a thorough review of all appeals, disputes and complaints and based on their nature decides within five working days whether the appeal, dispute or complaint allows

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a follow-up within the GHG services group or if the activation of the appeals committee is required directly (5).

3.2.1 Follow-up within the GHG services group

(6) In case the complaint/dispute/appeal allow a follow-up within the GHG services group, the Quality Representative will inform the GHG Co who within five working days will perform a review of the complaint/dispute/appeal. The GHG Co will contact the involved GLC staff to ask for background information on the appeal/dispute/complaint and will develop a solution. (7) The GHG Co will discuss the solution with the complainant/appellant. The complaint/dispute/appeal is settled when the complainant /appellant accepts the suggested solution. (8) In addition the GHG Co will conduct a root cause analysis, (9) will initiate required actions and (10) will inform the Quality Representative about the outcome.

In case the GHG Co has been involved in the complaint/dispute/appeal issue the Quality Representative will involve the GHG Co Deputy to handle the complaint/dispute/appeal.

The Quality Representative will file all complaints, disputes and appeals in a central list and submits a copy to the GHG Co who maintains it in the project file. Together with the GHG Co the Quality Representative will review the reasons for complaints/disputes/appeals annually in order to identify main failures.

3.2.2 Follow-up via the GLC Manager

(11) In case the complaint/dispute/appeal cannot be settled directly between the GHG Co and the client, the GHG Co, within another five working days will include the GLC Manager to arbitrate between the client and the GHG services (in case the Manager is not available within this time frame, the complaint/dispute/appeal will receive a note with the suggested time frame for discussing the issue with the manager.).

(12) In case the GLC manager will successfully settle the complaint/dispute/appeal analogously to the steps in subsection 3.2.1 the GHG Co will conduct a root cause analysis, initiate required actions and will inform the Quality Representative.

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If the arbitration will not lead to a successful settlement of the complaint/dispute/appeal the GLC Manager informs the Quality Representative who will activate the appeals committee.

3.2.3 Follow-up via the appeals committee

(13) In case the appeal can not be settled by the GHG Co or the GLC Manager, the Quality Representative will initiate the appropriate action to convene the appeals committee.

The GHG services related committee comprises three members who are not involved in any GHG service activities. Furthermore the independence of the committee members will be reviewed by the committee of experts. Only those candidates approved by the committee of experts will be considered for the committee.

Before being appointed as committee member every candidate has to sign a declaration that she/he is independent and impartial. The QR shall review before the assignment that respective declarations are available.

There are a minimum of six potential candidates out of whom the Quality Representative will choose randomly three to compose the committee. The names and contact details of the designated persons are provided in the "members of the committee" form. Within ten working days the Quality Representative will forward the names of the committee members to the appellant, who has the right to object to the composition within five working days. In such case the Quality Representative will evaluate the reason for objection and if he accepts the reason will nominate alternative members and forward the names to the appellant.

The Quality Representative will arrange a meeting attended by the appeals/complaints committee, the GHG Co, the appellant or complainant (if he/she wishes to attend) and the Quality Representative who will act as moderator and is responsible for the meeting minutes.

After settling the dispute analogously to the steps in subsection 3.2.1 the GHG Co will conduct a root cause analysis and initiate required actions. In addition, he will inform the Quality Representative about taken steps to resolve the cause and planned preventive actions.

In case GLC does not agree with the decision of the appeals panel, the GLC has the option to forward a complaint about this decision to the CDM-EB.

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(14) If a complaint or dispute can not be settled by the committee the case will be forwarded to GL's legal department which by than will take the lead and will try to settle the complaint or dispute. The communication between the legal department and the GLC will be in the responsibility of the Quality Representative.

4. Monitoring and/or measuring

- The independence of the members of the complaints and appeals committee will be monitored by the committee of experts.
- The number and type of complaints and appeals will be monitored and recorded by the Quality Representative and presented on an annual basis to the committee of experts.
- In addition the Quality Representative will record all complaints, disputes or appeals, the time frames for the different actions to be taken and the corrective and preventive actions and present them to the GLC management. This information will be integrated in an annually internal audit report.

5. Control of records

Records generated during the execution of the process comprise appeal-, dispute or complaint notes. These records will be kept on file for a time period of at least five years. In addition, German legal requirements are to be complied with.

6. Further applicable documents

DC-GHG 003_A: Internal complaints form

DC-GHG 003_B: External complaints form

DC-GHG 003_C: Members of the appeals committee