

Handling of Complaints, Disputes and Appeals

8-1 Handling Complaints, Disputes and Appeals Procedure

1. Introduction

This procedure is established for processing complaints, disputes and appeals filed against CTC CDM, with the goal of preventing recurrence of similar complaints, disputes and appeals. This procedure shall be made publicly available, referring to <http://web.ctc.ac.cn/en/cdm.html>.

This procedure applies to all complaints, disputes and appeals received during the course of CTC CDM's activities.

Confidentiality of the complaints, disputes and appeals including its subjects shall be safeguarded. No impartiality or discrimination issue shall be raised for the reason of the complaints, disputes and appeals.

2. Definition

Complaints: Formal (written) and/or informal (verbal) expressions of dissatisfaction regarding the performance of CTC in relation to its 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 CTC and its client regarding the CTC's recommendation and/or opinions/decisions made at various stages in the course of its validation and/or verification/certification activities;

Appeals: a request made by a client for a formal review of a decision taken by CTC in respect of its validation and/or verification/certification activities.

3. Handling Complaints Procedure

Step	RP	Comments
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<p>(1) Raise written or verbal complaints regarding to the DOE functions to CTC.</p> <p>The complaints content may be raised through formal (written) and/or informal (verbal) expressions within 30 days since the occurrence.</p> <p>(2) The written complaints shall be duly filled in the Complaints, Disputes and Appeals Registration Form (F-CDM-CDA) with complainant's signature.</p>	Complainant	<p>a) Complaints Contact:</p> <p>i. ccp@ctc.ac.cn:</p> <p>ii. Guojian Building, China Building Material Academy, 1# Guan ZhuangDongli, Chaoyang District, Beijing, 100024 China</p> <p>iii. +86 -10 – 5116 7333</p>
<p>(3) The verbal complaints shall be recorded in the <u>Complaints, Disputes and Appeals Registration Form (F-CDM-CDA)</u>.</p> <p>(4) Reply complainant within 5 working days and cc to Responsible Person:</p> <p>a) Confirmation of the receipt of the complaints;</p> <p>b) Acceptance of the complaints or not</p> <p>c) The handling plan if the complaints accepted</p>	OC-CCP	<p>b) The criteria for determine the validity of complaints is as follows:</p> <p>i. If the complaints relate to validation or verifications carried out by CTC</p> <p>ii. If the complaints relate to actions carried out or caused by CTC</p> <p>iii. If these actions are contrary to the requirements related to validations and verification as defined by the UNFCCC, legislative requirements and/or the CTC Quality Manual and procedures</p>

<p>(5) Once the complaints are accepted, the investigation shall be organized to collect evidence and Non-conformity, Corrective and Preventive Actions Management Procedure (Section 7.2 of this book) shall be initiated if any non-conformity or potential non-conformity detected from investigation.</p> <p>(6) Fill Complaints, Disputes and Appeals Report (F-CDM-CDAR) and send to Management Representative for approval</p>	<p>QM-CCP</p>	<p>c) The responsible person authorized by Top Management shall not be the personnel involved in the complaints.</p> <p>Generally, CDM Quality Manager is the responsible person for all complaints regarding to DOE function of CTC. Once CDM QM-CCP/QM-CCP is complained, one of other manager level personnel shall be appointed to take over the responsibility.</p>
<p>(7) Make approval on the handling Complaints, Disputes and Appeals Report (F-CDM-CDAR)</p>	<p>Management Representative</p>	

<p>(8) Notify complainant of the handling result and:</p> <ul style="list-style-type: none"> a) Final notice the complainants of the closure of complaints if satisfied response/no response received from complainant within 30 days, or; b) Suggest complainant of the option of appeals to CTC if the complainants is unsatisfied with the handling result. <p>(9) Update Record System with:</p> <ul style="list-style-type: none"> a) Complaints, Disputes and Appeals Registration Form (F-CDM-CDA); b) Complaints, Disputes and Appeals Report (F-CDM-CDAR); <p>(10) Confirmation and notification evidence</p>	<p>QM-CCP</p>	
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4. Handling Disputes Procedure

Step	RP	Comments
<p>(11) Raise written disputes through email/letter within 30 days since the occurrence.</p> <p>(12) The written disputes shall be duly filled in the type of Complaints, Disputes and Appeals Registration Form (F-CDM-CDA) with disputants' signature.</p>	Disputants	<p>d) Disputes Contact:</p> <p>i. ccp@ctc.ac.cn:</p> <p>ii. South Building, China Building Material Academy, 1# Guan Zhuang Dong Li, Chaoyang District, Beijing, 100024, China</p>
<p>(13) Reply disputants within 5 working days and cc to Responsible Person:</p> <p>a) Confirmation of the receipt of the disputes;</p> <p>b) Acceptance of the disputes or not;</p> <p>c) The handling plan if the disputes accepted;</p>	OC-CCP	<p>e) The criteria for determine the validity of disputes is as follows:</p> <p>i. If it is about the disagreement between CTC and the project participant (PP) regarding the CTC's recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions as a DOE;</p> <p>ii. If the information provided is successfully verified and found to support the disputes.</p>

<p>(14) Once the disputes are accepted, the investigation shall be organized to collect evidence.</p> <p>Non-conformity, Corrective and Preventive Actions Management Procedure (Section 5-2 of this book) shall be initiated if any non-conformity or potential non-conformity detected from the investigation.</p> <p>(15) Fill Complaints, Disputes and Appeals Report (F-CDM-CDAR) and send to Management Representative for approval.</p>	<p>QM-CCP</p>	<p>f) The responsible person authorized by Top Management shall not be the personnel involved in the complaints. Generally, CDM Quality Manager is the responsible person for all disputes regarding to DOE function of CTC. Once CDM QM-CCP is involved into disputes, one of other manager level personnel shall be appointed to take over the responsibility.</p>
<p>(16) Make approval on Complaints, Disputes and Appeals Report (F-CDM-CDAR).</p>	<p>Management Representative</p>	
<p>(17) Notify disputants of the handling result and:</p> <ul style="list-style-type: none"> a) Final notice the disputants of the close out of the disputes if satisfied response/no response received from disputants within 30 days; b) Suggest the disputants of the option of appeals to CTC if the disputants are unsatisfied with the handling result. <p>(18) Update Record System with:</p> <ul style="list-style-type: none"> a) Complaints, Disputes and Appeals Registration Form (F-CDM-CDA); b) Complaints, Disputes and Appeals Report (F-CDM-CDAR); <p>(19) Confirmation and notification evidence</p>	<p>QM-CCP</p>	

5. Handling Appeals Procedure

Step	RP	Comments
<p>(20) Raise written appeals through email/letter within 10 days since the occurrence of any decisions or actions from CTC.</p> <p>(21) The written appeals shall be duly filled in the type of Complaints, Disputes and Appeals Registration Form (F-CDM-CDA) with appellants' signature.</p>	Appellant	<p>g) Appeal Contact:</p> <p>i. ccp@ctc.ac.cn:</p> <p>ii. South Building, China Building Material Academy, 1# Guan Zhuang Dong Li, Chaoyang District, Beijing, 100024, China</p>
<p>(22) Reply the appellants within 10 working days and cc to Management Representative :</p> <p>a) Confirmation of the receipt of the appeals;</p> <p>b) Acceptance of the appeals or not;</p> <p>c) The handling plan if the appeals accepted;</p> <p>(23) Send filled Complaints, Disputes and Appeals Registration Form (F-CDM-CDA) and all related information to the Management Committee appropriately.</p>	QM-CCP	<p>h) The criteria for determine the validity of appeals is as follows:</p> <p>i) If it is about the disagreement between CTC and the project participant (PP) regarding the CTC's recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions as a DOE;</p> <p>ii. If the information provided is successfully verified and found to support the appeals.</p>
<p>(24) Once the appeals accepted, an independent Appeal Panel shall be appointed by the Management Committee.</p>	Management Committee	<p>i) The members of Appeal Panel shall differ from those who carried out the validation, verification or certification activities, and/or involved in technical review functions and made decisions in the CDM project which involved into the raised appeal.</p>

<p>(25) The investigation shall be organized to collect evidence within 20 working days (from Clause 20 of this section).</p> <p>(26) Non-conformity, Corrective and Preventive Actions Management Procedure (Section 7.2 of this book) shall be initiated if any non-conformity or potential non-conformity detected from the investigation.</p> <p>(27) Fill <u>Complaints, Disputes and Appeals Report (F-CDM-CDAR)</u> and submit to the Management Committee for approval</p>	<p>Appeals Panel</p>	<p>j) The investigating method may include but not limited to summon a hearing, field investigation, perusal of written documents.</p>
<p>(28) Sign of the handling result with all information concluded by the Appeal Panel maintained independent and unchanged</p> <p>notify QM-CCP</p>	<p>Management Committee.</p>	

<p>(29) Notify the appellants of the handling result and:</p> <ul style="list-style-type: none"> a) Final notice the appellants of the close out of the appeals if satisfied response/no response received from appellant within 30 days; b) Suggest the appellants of the option of complain to CDM EB if the appellants are unsatisfied with the handling result. <p>(30) Update Record Sys with:</p> <ul style="list-style-type: none"> a) Complaints, Disputes and Appeals Registration Form (F-CDM-CDA); b) Complaints, Disputes and Appeals Report (F-CDM-CDAR); c) Confirmation notification and approval evidence 	<p>QM-CCP</p>	
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