

Document Topic	Date of issuance	Revision
<b><i>Appeals and Complaints Handling</i></b>	<b><i>10<sup>th</sup> Aug 2016</i></b>	<b><i>A.6</i></b>
Serial Number	Author	Approved by
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## 1. OBJECTIVE

This procedure is to provide a system for handling complaints, disputes and appeals from external and internal sources concerning CTI Certification GHG validation and/or verification/certification service.

## 2. RESPONSIBILITY

Customer Service staff is responsible for participating resolution of complaints, disputes and appeals.

NB Operation Manager is responsible for organizing resolution of complaints, disputes and appeals.

General Manager has the overall responsibility to resolve complaints, disputes and appeals.

## 3. DESCRIPTION

### 3.1 Requirement

CTI Certification is responsible for all decisions at all level of the appeal-handling process within CTI Certification. CTI Certification treats complaints, disputes and appeals as important source to identify opportunities for improvement and take preventive actions.

Any complaints, disputes and appeals, related to CTI Certification policy, procedure, Validation and/or Verification/certification process, result, statement, report or logo use and personnel performance, shall be investigated and verified through the relevant procedure and affirmed whether is valid. The handling process will be conducted in a non-discriminatory manner. CTI Certification assigned this responsibility to Customer Service staff who is not involved in the validation or verification and certification activities and has absolute impartiality with the case to handle any complaints, disputes and appeals both from internal and external resources.

CTI Certification shall safeguard the confidentiality of the complaints, disputes and appeals and subject of the complaints, disputes and appeals. The investigation and handling process should be subject to requirements for confidentiality.

This procedure is a component of Public Available Information Package that was made publicly available to all public and accreditation body and UNFCCC CDM secretariat, UKAS and European Commission Regarding shipping MRV in the Public File link of web site ([www.cti-cert.org](http://www.cti-cert.org)). Customer service staff will upload the updated procedure to the web site timely.

### 3.2 Channels for Complaints, Disputes and Appeals

There are multiple channels to forward complaints, disputes and appeals to CTI Certification:

- verbal complaints, disputes and appeals during daily contacts;
- verbal complaints, disputes and appeals through telephone (the number is listed in the home page of web site, [www.cti-cert.org](http://www.cti-cert.org));
- written complaints, disputes and appeals through e-mail (the home page of the web site provide a direct link, [www.cti-cert.org](http://www.cti-cert.org) );
- written complaints by mail.

### 3.3 Investigation and Handling

#### 3.3.1 Definition

A complaint is a formal(written) and/or informal(verbal) statement from any source internal/external such as the CDM client's organization(CDM PP), ship owner or any other organization or person, such as the manager or the bareboat charterer, which has assumed the responsibility for the operation of the ship from the ship owner, the general public or its

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representatives, government bodies, NGOs, etc in which expressing the unsatisfactory or unacceptable response regarding CTI Certification’s GHG validation, verification/certification policy, procedure, activities or performance.

A dispute is an argument, disagreement or debate between CTI Certification and the related people or groups internal/external such as project participant (PP) regarding CTI Certification’s recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions or other GHG related activities.

An appeal is a formal request from the related people or groups internal/external such as CDM client’s organization (CDM PP), ship owner or any other organization or person, such as the manager or the bareboat charterer, which has assumed the responsibility for the operation of the ship from the ship owner, applying to an independent appeal panel or a higher accreditation body, the UNFCCC CDM secretariat, UKAS and European Commission Regarding shipping MRV for a decision to be reviewed, changed or reversal in respect of CTI Certification validation and/or verification/certification result, statement or report, dispute or complaint handling decision and CTI Certification’s some other disposal results.

### **3.3.2 The complaints handling process**

- a) All complaints either verbally or in writing, shall be recorded by staff that received on the standard form Appeal/Complaint Form and send the necessary information to Customer Service staff (staff assigned responsibility to handle complaints).
- b) Customer Service staff (staff who has absolute impartiality with the case and assigned with responsibility to handle complaints) will acknowledge receipt of the complaint, evaluate the validity of the complaint and investigate the complaints by involving the applicants and other related managers.
- c) NB Operation Manager will present the appropriate correction to be taken in response to the complaints and evaluate if there is a corrective /preventive action needed and whether it is necessary to issue CAR (Corrective Action Request) form [NBD/OP5/F2].
- d) The investigation result shall be recorded on the standard “Appeal/Complaint” form and reported to General Manager. General Manager makes the final decision on handling complaints. A progress report shall be provided to the complainant where feasible.
- e) When the handling has been completed, Customer Service staff shall send a written reply to complainant about the handling process, the persons engaged in the process and handling decision or corrective actions and register the response on the complaint form.
- f) The complainant is informed of his right to take his complaint to the Governing Board of CTI Certification in 30 days after receiving the written reply if the complainant cannot accept the handling decision or identify a potential conflict of interest. Customer Service staff shall assist Governing Board to handle complaints.

### **3.3.3 The disputes handling process**

- a) All disputes which shall be made available to accreditation body, the UNFCCC CDM secretariat, UKAS and European Commission Regarding shipping MRV either verbally or in writing, shall be recorded by staff that received on the standard form Appeal/Complaint Form and send the necessary information to Customer Service staff (staff assigned responsibility to handle disputes).
- b) Customer Service staff (staff who has absolute impartiality with the case and assigned with responsibility to handle disputes) will acknowledge receipt of the dispute, evaluate the validity of the dispute and investigate the disputes by involving the disputes and other related managers.
- c) NB Operation Manager will present the appropriate correction to be taken in response to the disputes and evaluate if there is a corrective /preventive action needed and whether it is necessary to issue CAR (Corrective Action Request) form [NBD/OP5/F2].
- d) The investigation result shall be recorded on the standard “Appeal/Complaint” form and reported to General Manager. General Manager makes the final decision on handling disputes. A progress report shall be provided to the disputant where feasible.

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- e) When the handling has been completed, Customer Service staff shall send a written reply to disputant about the handling process, the persons engaged in the process and handling decision or corrective actions and register the response on the Appeal/Complaint form.
- f) The disputant is informed of his right to take his dispute to the Governing Board of CTI Certification in 30 days after receiving the written reply if the disputant cannot accept the handling decision or identify a potential conflict of interest. Customer Service staff shall assist Governing Board to handle disputes.

### **3.3.4 The appeals handling process**

- a) CTI Certification shall form an independent appeal panel responsible for the appeals process and assign responsibility to handle the investigation with the Customer Service staff that has absolute impartiality with the case.
- b) All appeals, either verbally or in writing which shall be made available to accreditation body, the UNFCCC CDM secretariat and the PPs, UKAS and European Commission Regarding shipping MRV, ship owner or any other organization or person, such as the manager or the bareboat charterer, which has assumed the responsibility for the operation of the ship from the ship owner, shall be recorded by staff who received on the standard form Appeal/Complaint Form and send all the relevant information available to Customer Service staff (staff assigned responsibility to investigate appeals).
- c) NB Operation Manager will present the appropriate correction to be taken in response to the appeals and evaluate if there is a corrective /preventive action needed and whether it is necessary to issue CAR (Corrective Action Request) form [NBD/OP5/F2] especially when the investigation points towards a non-conformance and any gaps in the system.
- d) The investigation result shall be recorded on the standard “Appeal/Complaint” form and the independent appeal panel makes the final decision on handling appeals. A progress report shall be provided to the appellant where feasible.
- e) When the handling has been completed, Customer Service staff shall send a written reply to appellant about the handling process, the persons engaged in the process and handling decision or corrective actions and register the response on the Appeal/Complaint form.
- f) The appellant is informed of his right to take his appeal to the Governing Board of CTI Certification in 30 days after receiving the written reply if the appellant cannot accept the decision of the appeal panel or identify a potential conflict of interest, furthermore the appellant is informed to have an option of complaining to the accreditation body, the UNFCCC CDM Executive Board, UKAS and European Commission Regarding shipping MRV in case it is not satisfied with the decision of the appeal panel.

### **3.4 Preventive Action**

Governing Board shall review the outcome of all complaints, disputes and appeals and determine whether it is necessary to take actions to prevent the occurrence of undesired situation on Management Review Meeting. All relevant information and the actions have been taken shall be submitted for the Management Review.

## **4. RECORDS AND FORMS**

NBD /OP8/F1: Appeal/Complaint Form

NBD/OP5/F2: Audit Findings/ Corrective and Preventive Action Requests

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Revision	Revision Date	Key changes in brief
A	20 <sup>th</sup> Dec 2010	New Release
A.1	29 <sup>th</sup> Jun 2011	Revise the responsibilities according to overall O-chart change in Manual; Add some description in investigation process.
A.2	24 <sup>th</sup> Dec 2011	Add the requirement of validity evaluation of complaints, disputes and appeals and safeguard the confidentiality in section 3.1; Separate the complaints, disputes and appeals handling process.
A.3	29 <sup>th</sup> Jan 2012	Revise the procedure availability to all; Add the definition of complaints, disputes and appeals in 3.3.1; Add the process of providing progress report in 3.3.2d, 3.3.3 d and 3.3.4 d; Add the appellant option of complaining to the accreditation body including CDM EB in 3.3.4 f.
A.4	20 <sup>th</sup> Jun 2012	Add the public available approach in 3.1.
A.5	10 <sup>th</sup> Jul 2012	Specify the public available approach in 3.1.
A.6	10 <sup>th</sup> Aug 2016	Add ship owner or any other organization or person, such as the manager or the bareboat charterer, which has assumed the responsibility for the operation of the ship from the ship owner as clients, and UKAS and European Commission as accreditation body regarding shipping MRV