

## PROCEDURE FOR APPEAL, COMPLAINTS AND DISPUTES

### 1.0 PURPOSE

The purpose of this procedure is to receive, evaluate and make decisions on appeals against its decisions and complaints against ICIC personnel and deliverables

### 2.0 PROCESS OWNERS AND ROLES

The Chief Operations is responsible for investigating complaints against staff and deliverables.

Scheme Manager is responsible to control, monitor and communicate the appeals and compliant handling procedure and progress.

Chairman of Governing Body is chairs appeal panel. Also he is responsible for investigating complaints against the Chief Operations.

**Technical Committee** is responsible for providing sector industry knowledge and conduct the verifier approval.

### 3.0 PROCEDURAL STEPS

#### 3.1 Registration of Appeals, Complaints and Disputes

3.1.1 Scheme Manager sends to the parties requesting details of the procedure to make an appeal or complaint or dispute. Also this procedure is made available in the website ([www.climateintell.com](http://www.climateintell.com)) for publicly access.

3.1.2 The Scheme Manager maintains a register of all accepted appeals, complaints and disputes. The details recorded include the date of receipt, client details, summary of the appeals, complaints and disputes, and an reference number.

3.1.3 The identifying reference number is used on all subsequent correspondence and other records related to the appeals, complaints and disputes. Copies are retained in the file.

#### 3.2 Appeal Procedure.

3.2.1 Any person or body can file an appeal against the decision of the ICIS to the Governing Body Chair Person through Scheme Manager.

3.2.2 Request by an individual or other parties for reconsideration of any adverse decision made by ICIS related to its decision as mentioned below;

An adverse decision includes;

- refusal to accept an application for the verifier,
- refusal to proceed with verification process of the verifier application,
- removal of the published documents without stating the reason,
- decisions to deny, suspend or withdraw verifier status,
- any other action that impedes the document publishing or verifier status.
- not satisfied with the decision made for the complaints and disputes.

3.2.3 Notification of the intention to appeal must be made in writing within 30 days of the decision, along with all the necessary documents in support of the appeal.

3.2.4 Appeal should be addressed to the Scheme Manager, email [scheme@climateintell.com](mailto:scheme@climateintell.com)

3.2.5 The Scheme Manager verifies the documents for completeness and may ask for additional documentary support if necessary. Once the documents are complete, the Scheme Manager acknowledges the receipt of the appeal and forwards the same to the Governing Body Chairman. The Chairman has the right to either disallow the appeal or to form an Appeals Committee based on the merit of the contents of the appeal.

3.2.6 Chairman of the Governing Body chairs the Appeal Panel. He will appoint two members from the Governing Body who are not having any direct commercial or direct interest in the service concerned as Appeal Panel and make the necessary arrangements for the panel to meet.

3.2.7 A meeting of an Appeal Panel is held within 30 days of receipt of the appeal. The appeal process includes the following elements and methods: -

- investigating the appeal, and for deciding what actions are to be taken in response to it, taking into the accounts the results of previous similar appeals;
- tracking and recording appeals, including actions taken to resolve them
- ensuring that any appropriate correction and corrective actions are taken.

3.2.8 The appellant is given at least 7 days notice of the time and place of the meeting and is entitled to be heard in confidence.

3.2.9 The decision of the majority of the Appeals Panel as declared by its Chairman is communicated to both parties at the end of the hearing and is final. Once the Appeal Panel has made a decision regarding an appeal, no counter claim by either party in dispute can be made to amend or change this decision.

### 3.3 Complaints

3.3.1 Complaint can be made by any person or organization (ICIS) against the following;

- its operation and/or procedures
- the members or staff of the ICIS
- verification process followed by the verifying committee/members
- misuse of the approved status either in scope or in use of the logo or mark

(Note: Compliant means expression of dissatisfaction, other than appeal, by any person or organization, to ICIC, relating to the activities of ICIS, where a response is expected)

If the complaints involve the Scheme Manager it should be addressed to the Chief Operations and the complaints involves Chief Operations, it should be addressed to the Chairman of the Governing Body of ICIS.

3.3.2 If the complaint has no details of the complainant or the description is not adequate, the Scheme Manager / ICIS will reserve the right of dealing with the complaint as deemed fit.

The Scheme Manager maintains a Complaints register for all complaints. This includes the date of receipt, client details, summary of the complaint, and a complaint reference number

3.3.3 Complaints are registered immediately on receipt and the party is sent an acknowledgement letter indicating that the matter is receiving timely attention.

3.3.4 The Scheme Manager or Chairman decides on an appropriate course of action and the decision is recorded in the complaints register.

3.3.5 The party to the compliant is informed of the proposed actions and is asked to comment.

3.3.6 The register is updated with details of the action and the response received from the party to the compliant, if any, is noted.

3.3.7 Complaints are monitored with a view to improving satisfaction and reducing their future incidence.

### **3.4 Dispute**

- 3.4.1 ICIS considers Dispute as “Unresolved complaints about deliverables or procedures”
- 3.4.2 The disputes about the “Unresolved complaints about deliverables or procedures” should be forwarded to the Scheme Manager in writing along with the information on the issue supported by the documentary evidence. The action taken by the two parties involved in the dispute shall also be enclosed along with the dispute.
- 3.4.3 The Scheme Manager will acknowledge the Dispute and indicate the approximate time required to resolve the same.
- 3.4.4 The details of the Dispute are forwarded to either the Chief Operations or the Technical Committee Chairman as appropriate for their comments and decision. The respective committee chairman or Chief Operations may consult any of the committee members or experts.
- 3.4.5 The decision on the dispute shall be forwarded to the person or body by the Scheme Manager.

### **3.5 Review**

- 3.5.1 The Scheme Manager has been assigned to ensure the following activities arising out of 1) Appeal 2) Complaints and 3) Disputes either with the individual or other interested parties;
- Taking appropriate corrective and preventive action as identified.
  - Keeping records related to all appeals, complaints, disputes and remedial actions related to certification / registration activities.
  - Assessing the effectiveness of action taken and document the action taken for submission to Technical Committee and Governing Body.
- 3.5.2 The status of progress of appeals and complaints are reviewed on a regular basis by the Scheme Manager
- 3.5.3 This review forms part of the periodic management review of the ICIS system

### **3.6 Financing the Complaint, Appeal and Dispute Process**

- 3.6.1 If the resolution of the Complaint, Appeal or Dispute is done without undertaking any travel or additional assessment, no financing will be needed for such resolutions. If the resolution calls for undertaking travel and assessment, the cost will be borne by the defaulting party.