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|  | INDIAN COUNCIL OF FORESTRY RESEARCH AND EDUCATION DEHRADUN | | CDM Procedure |
| Document Name | Procedure for handling complaints, disputes, appeals, and pending judicial processes | | |
| Document No. | BCC/ICFRE/DOE/008 | Issue No. 01 Rev. No. 03 | Issue Date: 10.07.2009 Rev. Date: 14.03.2011 |

1. Purpose:

To document, establish, implement and maintain the system for handling complaints, disputes and appeals for DOE certification services as per the requirement of UNFCCC/CDM-Executive Board.

2. Scope:

This procedure is applicable to all complaints, disputes and appeal received by ICFRE related to CDM project activity validation, verification and certification services of ICFRE-DOE.

3. Responsibility:


Chief Executive Officer and Chief Technical Advisor, Executive Officer and Advisor, CDM Quality manager and Technical Advisor

4. Procedure for Handling Complaint:

All the complaints received shall be recorded in the format DOE/PM/008/F01.

- 4.1 Any interested party, client or stakeholder can make complaint to the CDM Quality Manager and Technical Advisor on the functioning of ICFRE-DOE related to validation/verification/ certification services within 30 days from date of its decision.
- 4.2 After receipt of complaint from the stakeholder or interested parties, complaint shall be entered in complaint register DOE/PM/008/F01 by CDM Quality Manager and Technical Advisor. Receipt of the complaint shall be acknowledged, complainant will be informed about the progress in the case.
- 4.3 CDM Quality Manager and Technical Advisor will forward the same to Executive Officer and Advisor who will examine the genuineness of the complaint, and will request to the Chief Executive Officer/Chief Technical Advisor to formulate a three members Complaint Redressal Committee for the purpose within 21 days from the receipt of complaint. The Chief Vigilance Officer of ICFRE shall be Chairperson of the Complaint Redressal Committee. The committee will be formed keeping in view the technical requirement of the complaint but are independent of the subject of complaint.

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4.4 The committee shall take necessary action to redress the complaints and takes the corrective and preventive action, and effectiveness of corrective and preventive actions is monitored by the Executive Officer and Advisor.

4.5 The Executive Officer and Advisor shall ensure that members nominated for expert committee have no conflict of interest nor have commercial relation with the complainant. The members of Complaint Redressal Committee shall sign the document of “Conflict of Interest and Confidentiality Agreement”.

4.6 Decision of Complaint Redressal Committee once approved by Chief Executive Officer and Chief Technical Advisor shall be communicated to the aggrieved party. Aggrieved party can make appeal within 30 days of the receipt of the communication from ICFRE-DOE.

4.7 The guidelines for complaints handling procedure shall include following:


- Gathering and verifying all necessary information for evaluating the validity of the complaint, investigating the complaint and for deciding what actions are to be taken in response to it.
- The criteria for determining the validity of complaints.
- Safeguard the confidentiality of the complainant and subject of the complaint.
- Ensuring that the persons engaged in the complaints handling processes are different from those who carried out the validation or verification and certification activities.

5. Procedure for Handling Disputes:

5.1 After receipt of any disputes from the stakeholder or interested parties, Disputes shall be recorded in the new file by CDM Quality Manager and Technical Advisor. Receipt of the disputes shall be acknowledged.

5.2 The Independent Advisory Committee (IAC) shall be responsible for handling disputes. IAC shall settle the disputes within 30 days from the receipt of the disputes. Decision of IAC once approved by the Chief Executive Officer and Chief Technical Advisor shall be communicated to the aggrieved party. Aggrieved party can make appeal within 30 days of the receipt of the communication from ICFRE-DOE.

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5.3 The Committee shall follow following guiding principles for handling disputes:

- Gathering and verifying all necessary information for evaluating the validity of the disputes, investigating the disputes and for deciding what actions are to be taken in response to it.
- The criteria for determining the validity of disputes.
- Tracking and recording disputes, including actions undertaken in response to them.
- Ensuring that appropriate correction and corrective action are taken.
- Safeguard the confidentiality of the disputes and subject of the disputes.
- Ensuring that the persons engaged in the disputes handling processes are different from those who carried out the validation or verification and certification activities.
- Informing the disputant of the outcome of the investigation and the final notice of the end of the disputes handling process.

5.4 The Executive Officer and Advisor shall ensure that members of the IAC handling the dispute have no conflict of interest, nor have commercial relation with aggrieved party. The members of IAC sign on document “Conflict of Interest and Confidentiality Agreement” and maintain all records to the disputes.

6. Procedure for Handling Appeal:


6.1 A CDM client organization (CDM PP) can request for a review by an Independent Appeal Panel (IAP) of various decisions taken by a DOE in respect of validation and/or verification/certification functions within 15 days from the receipt of such communication from ICFRE.

6.2. CEO/Chief Technical Advisor shall constitute a three member Independent Appeal Panel, drawing one senior management officer from ICFRE and two persons from outside the organization.

6.3 The TOR of the IAP shall be as follows:

- IAP shall carry out investigations on the appeal after ascertaining its validity.

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- (ii) IAP shall carry out investigations on the appeal taking into account the material facts produced by the appellant
- (iii) IAP can cross check the facts produced by the appellant.
- (iv) If appropriate, IAC can ask ICFRE-AE on validity of certain facts produced by the appellant.
- (v) IAP shall ensure that its decision takes into account all the relevant information available and gathered as part of investigation.
- (vi) To suggests the corrective and preventive action so that such kind of appeals are not repeated or minimized in future.

6.4 The competence criteria of IAP members shall be as follows:

- (i) Forestry professional at senior management level within the Government/ Semi Government or Autonomous organization/civil society
- (ii) Knowledge of CDM procedures


6.5 The time line and actions for handling appeal shall be as follows:

- (i) After receipt of appeal, the appeal is acknowledged by the Executive Officer and Advisor.
- (ii) Executive Officer shall communicate the subject matter of appeal to the Chairperson of IAP within 10 days of the receipt of the appeal
- (iii) Chairperson IAP shall initiate processing of appeal within 7 days of the receipt of the appeal from Executive Officer
- (iv) Chairperson (IAP) shall complete proceedings and submit its report on Appeal within 45 days to the Executive Officer.
- (vi) Executive Officer will communicate decision of the IAP to the appellant, and the Chief Executive Officer and Chief Technical Advisor.

6.6 The decision of Independent Appeal Panel (IAP) on the appeal shall be final.


6.7 In case appellant is not satisfied with the decision of the IAP, appellant has an option of complaining to CDM –EB.

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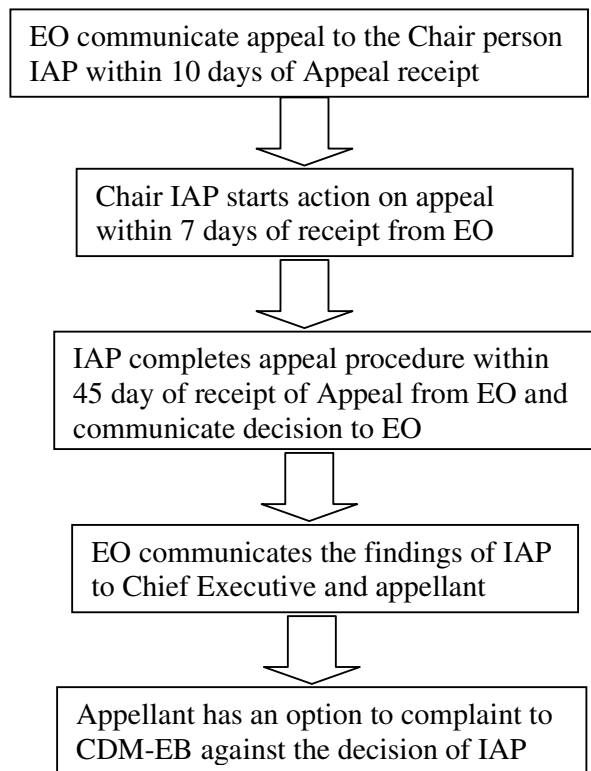
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- 6.8 Executive Officer and Advisor acts as a Coordinator in maintaining records of all complaints, disputes and appeals, tracking and recording appeals, including actions undertaken to resolve them.
- 6.9 ICFRE-AE shall ensure that, if the investigation points towards a non-conformance, then appropriate correction and corrective action are taken to eliminate the gaps in the system, especially if investigation points towards any gaps in the system.
- 6.10 The IAP shall take necessary action to redress the appeal and suggests the corrective and preventive action, and effectiveness of corrective and preventive actions is monitored by the Executive Officer and Advisor.
- 6.7 The Executive Officer and Advisor shall ensure that members nominated for appeal/expert committee, have no conflict of interest, nor have commercial relation with part making appeal. The members of committee sign the document “Conflict of Interest and Confidentiality Agreement” as per the laid procedures of ICFRE-AE.
- 6.8 ICFRE shall ensure that the submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant.
- 6.10 Proper safeguards for confidentiality of appellants and the subjects of the appeal shall be maintained. This process shall be subject to requirements for confidentiality of ICFRE-AE.

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The flow Chart of Appeal Procedure shall be as follows:




7. Pending Judicial Processes:

7.1. ICFRE-DOE shall maintain a record of all the judicial processes pending against it as well as information of any judicial cases held in the past. If the subject matter of the cases is such that it is incompatible with its functions as a DOE, then the same shall be duly reported to its management and the Secretariat. Executive Officer and Advisor shall be responsible for maintaining such records.

7.2 ICFRE-DOE shall inform the UNFCCC CDM secretariat of any such case pending at the time of application and thereafter at any time during its accreditation cycle if any such case is instituted against it.

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8. Availability of the Procedures for Handling Complaints, Disputes and Appeals:

The procedure for handling complaints, disputes and appeals shall be available at ICFRE website for public and shall be made available to the client/stakeholders on demand.


9. Customer Feedback:

Executive Officer and Advisor receive the customer feedback through customer feedback form, DOE/PM/008/F02 and the results are analyzed. In respect of negative points, the necessary corrective action is taken.

References:

1. Decision 3/CMP.1, 5/CMP.1, 6/CMP.1
2. Latest version of CDM Validation and Verification Manual (VVM)
3. Subsequent CDM-EB and COP/ MOP Decisions

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Format No. DOE/PM/008/F01
Issue No. 01 Date: 15.02.2010

INDIAN COUNCIL OF FORESTRY RESEARCH AND EDUCATION, DEHRADUN

CUSTOMER COMPLAINT REGISTER

| Control No. | Date | Name of Customer | Customer Reference (Letter/ Fax) | Nature and Details of Complaint | Action by | Date of Reply to Customer | Signature of CDM Quality Manager | Review by Chief Executive Officer and Chief Technical Advisor |
|-------------|------|------------------|----------------------------------|---------------------------------|-----------|---------------------------|----------------------------------|---|
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Format No. DOE/PM/008/F02

Issue No. 01 Date: 15.02.2010

INDIAN COUNCIL OF FORESTRY RESEARCH AND EDUCATION, DEHRADUN

CUSTOMER FEEDBACK AND ANALYSIS

Customer Organisation:

Contact Person:

Project/Assignment:

Contract Details:

Perception of the customer is recorded against the following parameters on a scale of 1 to 10 where 1 represents poor perception and 10 represents excellent perception.

| S. No. | Parameters for recording perception of client | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |
|--------|--|---|---|---|---|---|---|---|---|---|----|
| 1 | Understanding of customer requirements | | | | | | | | | | |
| 2 | Promptness in communication | | | | | | | | | | |
| 3 | Level of expertise rendered | | | | | | | | | | |
| 4 | Competence of Audit Team | | | | | | | | | | |
| 5 | Structured project reviews | | | | | | | | | | |
| 6 | Quality of service rendered/ project completed | | | | | | | | | | |
| 7 | Timely completion of project/assignment | | | | | | | | | | |
| 8 | Quality of presentations | | | | | | | | | | |
| 9 | Care and courtesy exhibited | | | | | | | | | | |
| 10 | Overall quality of project/assignment | | | | | | | | | | |


Signature of Customer/Authorized representative:
(Optional)

$$\text{Customer Satisfaction Index} = \frac{\text{Sum of ratings awarded}}{\text{Sum of maximum Ratings}} \times 100$$

Executive Officer and Advisor

History of the document

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| Version | Date | Nature of revision |
|------------------|------------|--|
| Issue 01 Rev. 03 | 14.03.2011 | Changes made in accordance with the CDM Accreditation Standards for the Operational Entities (Version 02) |
| Issue 01 Rev. 02 | 16.09.2010 | Changes made in the document in accordance with the non-conformities received from CDM-AT on account of onsite assessment of ICFRE-AE. |
| Issue 01 Rev. 01 | 15.02.2010 | Changes made in the document in accordance with the non-conformities received on account of initial desk review. |
| Issue 01 Rev. 00 | 10.07.2009 | Initial document |

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