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| 1 | Procedure – Complaints, disputes and appeals |  |
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Procedure for Complaints, Disputes and Appeals:

This document details on the procedure to handle, document, address, resolve and dispose the complaints, disputes and appeals to the DOE.

Head-DOE Responsibility:

- The Head-DOE is responsible for handling all complaints, disputes and appeals
- He/she is responsible to validate/verify the nature, importance and significance of the complaints.
- Shall assign a team who is independent of the project in concern
- Shall monitor, verify the implementation and its effectiveness to resolve the complaints, disputes and appeals.

The Clients, Project Participants, and stakeholders can communicate their complaints, disputes and appeals to doe@4kearthscience.com.

Confidentiality:

The confidentiality is maintained and safeguarded within the team assigned for the investigation of the compliant/dispute/appeal. And the team is informed on the same.

The handling process of the received complaints and disputes are detailed below:

Complaints and disputes:

Receiving a complaint/dispute:

The complaint/dispute is received and communicated to the Head-DOE for further action. The received complaint is recorded to track the various stages of progress related to the complaint.

Checking the authenticity of the complaint/dispute:

The complaint/dispute is checked within 15 days to see, whether it is covering the role of the DOE. The complaint is then checked for category as such whether it is pertaining to i) CDM validation and verification processes and decisions, ii) financial issues, iii) professional conduct, iv) project timeline or delay, v) discrimination, vi) procedures followed, vii) methodologies applied, viii) decision or judgment

Acknowledgement of the complaint:

Authentic and Valid Complaint/dispute:


The complaint/dispute when found authentic and valid the following process is adopted:

- Acknowledge the receipt of complaint by informing the complainant or disputant in writing.
- Indicate a time line for the resolving the complaint/dispute.
- Prepare the investigating process and intimate a team to resolve the issues

Non-valid complaints/disputes:

If the complaint/dispute is found to be not valid, as it is not pertaining to the step mentioned above, the non-validity is informed to the client in writing and explaining the reason for refusal to accept the complaint/dispute.

However, the complaint can be re-submitted by the client with supporting evidences, if

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he/she feels it has not been addressed properly.

Any complaint/dispute is identified to pose damage to company reputation or financial risks to the company; it has to be directed to Director, Energy and Carbon for further action.

Investigating a complaint/dispute:

The complaint/dispute is allocated to an investigating team who are different from those who had performed validation/verification activities. The investigating team is comprised of 2 to 3 members including the Head-DOE will check on the following a) causes of the complaint/dispute b) Technical and methodological issues c) Issues of judgment d) Potential liabilities of DOE personnel e) Internal procedures that might have not been followed f) Suggestions for corrections and corrective actions

Actions to resolve the complaints/disputes:

The Head-DOE defines the actions based on the information collected, investigated, checked and documented. The action determined is consulted and informed to the client. If the client accepts the actions or is willing to establish a mutual consent then the matter is implemented and documented with proposed actions, corrections and corrective actions.

The Head-DOE shall monitor the satisfactory implementation of proposed actions, corrections and corrective actions. The resolved process is documented.

Any information on the status/progress shall be made available to the client in the form of reports. The satisfactory closure is communicated in writing to the complainant/disputant and upon their acceptance the complaint/dispute is closed. The process is documented and archived.

Process for Appeals:

If the client/complainant is not satisfied with the earlier process of complaint, he/she can proceed to go for an appeal. The appeal has to be addressed to the DOE in writing within 30 days after he/she receives the communication on the decision of refusal/closure of the previous complaint. The appeal should be provided to the DOE with supporting evidences.

Accepting appeals:

The appeal is checked by the Head-DOE within 15 days to see, whether it is authentic and valid.

The appeal when found authentic and valid the following process is adopted:


- Acknowledge the receipt of appeal by informing the appellant in writing.
- Prepare the investigating process and convene the Appeal Panel to resolve the issues

Non-valid Appeals:

If the appeal is found to be not valid, the Head of DOE shall inform the appellant in writing and explain the reasons for refusal. The appellant could resubmit the appeal providing explanation and evidence to support their appeal.

Investigating an appeal

If the appeal is valid, the Head of DOE shall inform the appellant in writing and should immediately establish an Appeal Panel to resolve the issues.

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Constitution of an Appeal panel

As a first step the appellant and the DOE shall agree upon the constitution of an appeal panel who is independent with the following consideration.

Atleast one person from DOE, Appellant Firm and another from 4KES or external person with similar professional association. These personnel shall not have been involved in the project validation/verificaton or certification process. Care is necessiated on impartial approach.

The appeal Panel is comprised will check on the following a) causes of the appeal b) Technical and methodological issues c) Issues of judgment d) Potential liabilities of DOE personnel or Appellant’s firm e) Internal procedures that might have not been followed from both sides f) Suggestions for corrections and corrective actions.

Actions to resolve the Appeals:

Upon the completion of the investigation by the Appeal Panel with sufficient proof, then provides a decision to resolve the appeal. The Head-DOE on time bound intervals shall in writing provide status and progress of the appeals in consultation with the Appeal Panel.

The action determined is consulted and informed to the client. If the client accepts the actions or is willing to establish a mutual consent then the matter is implemented and documented with proposed actions, corrections and corrective actions.

If the appeal cannot be resolved and the appellant wishes to pursue the appeal further, the Head-DOE shall inform the appellant that the case could be transferred to the CDM Executive Board for further action as per their guidelines.

If the appeal is resolved, the satisfactory closure is communicated in writing to the appellant and upon their acceptance the appeal is closed. The process is documented and archived.

Revision History:

| Sl, No | Version | Comment | Checked/Approved By |
|--------|------------------|----------------------------------|---------------------|
| 1 | 01 08/06/2018 | Initial formulation | Head of Operations |
| 2 | 02 20/02/2019 | Document control process changes | Head of Operations |