

IPC: Climate Change Services, Instruction After Sales Services

Disputes, complaints and appeals handling – CDM/JI

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Revisions in this document: Rev 1 (ELYS) New requirement for central logging of all disputes applicable to disputes received from May 2009

1. OBJECTIVE

To ensure fast and appropriate handling of disputes, complaints and appeals relating to DNV climate change service communicated by a customer, a potential customer and other related party.

2. DEFINITIONS/RESPONSIBILITIES

For the purpose of this procedure,

Disputes: Disagreement between DNV and the customer regarding DNV's recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions.

Definition of a complaint: Statement verbally or in writing that the services provided do not meet the stated or implied needs or expectations of a customer. In DNV Climate Change Services this includes complaints from any external party.

Appeals: The customer request for a review by an independent body of various decisions taken by DNV in respect of validation, verification/certification functions.

Customer is a company which holds a contractual relationship with DNV- Climate Change Services.

Potential customer is a company which has requested a service from DNV- Climate Change Services.

Other related party refers to any company or organization which may have a say in the services provided by DNV as DOE/AIE.

Designated Person: A person authorized and responsible for managing and coordinating all disputes, complaints and appeals at an overall level. The designated person shall not have been involved in the work that the dispute/complaint/appeal concerns. Normally the Quality Manager will hold the overall responsibility, while the administrative processing and log keeping is taken care of by a member of the Approval Centre.

Inbox responsible: The person working in DNV Approval Centre responsible for handling all emails received via the ClimateChange@dnv.com Inbox.

The responsibility for the prompt handling of disputes, complaints and appeals rests with all climate change services personnel.

Each Regional and Business Unit Manager is responsible for processing disputes and complaints that are received in his unit and for informing the Designated Person when a dispute and complaint takes place. The Regional and Business Unit Manager shall forward appeals received in his unit to the Designated Person.

The Designated Person is responsible for handling the appeals and monitoring the disputes, complaints, appeals cases as well as analyzing the need of corrective actions.

3. PROCESS OVERVIEW

3.1 Scope

This process addresses responses to

- Disputes,
- Complaints and
- Appeals.

Reference shall also be made to the corporate instruction “CGM-6-1 Complaints handling”. Requests for review/review processes by the EB/JISC are not covered by this procedure.

3.2 Input

Disputes, complaints, and appeals from customers, potential customer or other parties.

3.3 Output

A response and an appropriate action.

4. GENERIC PROCEDURES

4.1 Initial handling of disputes

When there is a dispute DNV Climate Change Services personnel shall:

- Report the dispute to her/his local Business Unit Manager
- The Business Unit Manager of the unit responsible for the project will evaluate the dispute.
 - If the dispute relates to non-fulfilment of a clear requirement, the dispute shall not be considered as dispute.
 - If the dispute relates to the interpretation of a requirement, the dispute shall be forwarded to the Director for Services and Technologies and the Designated Person
 - If the dispute concerns a party that has no contract with DNV, it should be considered if it is valid
- The Director for Services and Technologies, assisted by the service responsible for JI or CDM, will try to resolve matters effectively in consultation with the local business unit manager and will prepare a response to the customer or other parties on the dispute, including potential actions to close the matter. The response is communicated to the customer or other parties on the dispute by the local business unit manager.
- The Designated Person, assisted by a member of the Approval Centre, establishes a log listing status and relevant information concerning disputes.

If the counterpart does not accept DNV's response, she/he shall be advised of the appeals procedure if the matter is related to DNV's actions or decisions regarding the validation/determination/verification process. A contractual arbitration process may also be applicable. Reference shall also be made to the corporate instruction “CGM-6-1 Complaints handling”..

4.2 Handling of Complaints

4.2.1 Initial handling of Complaints

Documented or clearly expressed verbal complaints directly against DNV Climate Change Services shall:

- Promptly be referred to the Business Unit Manager.
- Be forwarded to the Designated Person via the climatechange@dnv.com mailbox.

4.2.2 Logging and Acknowledgement of Complaints

The Designated Person shall:

- Establish a complaints log listing data and status of relevant information.
- If the complaint concerns a party that has no contract with DNV, it should be considered if it is valid.
- Appoint a Respondent for each complaint.
- Within 5 working days of the receipt of a complaint coordinate an initial response to the complaint.
- Have an overall picture of the complaints received, perform root cause analysis, and if needed, propose corrective actions and check on the implementation of corrective actions.

4.2.3 Investigating & Responding to Complaints

The Respondent appointed by the Designated Person has the responsibility for pursuing a complaint to its conclusion and shall:

- Organise an analysis of the complaint and decide if an immediate or corrective action is needed, taking into account other complaints received.
- Inform the relevant persons.
- Plan or outline the actions decided.
- Record activities.
- Update the log accordingly.
- Prepare a response to the complainant. The response shall be agreed by the local Business Unit Manager and the Designated Person.

If the complainant does not accept DNV's response, she/he shall be advised of the appeals procedure if the matter is related to DNV's actions or decisions regarding the validation/determination/verification process. A contractual arbitration process may also be applicable. Reference shall also be made to the corporate instruction "CGM-6-1 Complaints handling"..

Information related to the handling of complaints shall be kept confidential.

4.3 Appeals Procedure

Appeals received by DNV Climate Change Services shall be handled as follow:

- If it is received in a local office, the local Business Unit Manager shall inform the Designated Person without delay.
- The Designated Person is responsible for the registration, monitoring and the coordination of a formal response in written.

The appellant shall be informed of the right to:

- Formally present its case.
- Take the appeal to the Independent Appeal Panel (Appendix A) if the appellant fails to accept the decision of DNV Climate Change Services.

If appealed, the following applies:

- Decision reached by the Independent Appeal Panel (Appendix A) shall be communicated to the appellant in writing and by someone not previously involved in the subject of the appeal.
- If the appellant still remains dissatisfied with the decision of the Independent Appeal Panel (Appendix A), an independent arbitration acceptable to both parties may be offered. This shall be decided by the Independent Appeal Panel (Appendix A).
- If the applicant is still dissatisfied with the decision, the applicant shall be made aware of the possibility to submit a complaint to the CDM-EB.
- If the appeal is likely to lead to legal or financial consequences for DNV, the DNV corporate legal affairs department shall be notified.

Information related to the handling of appeals shall be kept confidential.

4.4 Corrective Action

The Designated Person, in consultation with the management of Climate Change Services, shall review the outcome of all complaints, disputes and appeals and, where appropriate, initiate action to prevent repetition and achieve improvements.

Appendix A – MANDATE FOR THE INDEPENDENT APPEAL PANEL (CCM-6-4)

Two representatives from the Business Area “DNV Business Assurance” have been appointed to be The Independent Appeal Panel for customers of Climate Change Services that do not accept the decision on complaint.

If the complaint involves legal issues they may appoint an additional member from DNV Corporate Legal Affairs department

Their job is to review the case and advise the Managing Director of DNV Climate Change Services. The advice shall be communicated to the appellant in writing.

If the appellant still remains dissatisfied with the decision of the Independent Appeal Panel, an independent arbitration acceptable to both parties may be offered. This shall be decided by the Independent Appeal Panel.

Reference is made to [Disputes, complaints and appeals handling](#) (ICP-6-1-CDMJI-i1).

Information related to the handling of appeals shall be kept confidential.