

QUALITY MANAGEMENT SYSTEM

Organization Standard

COMPLAINTS, DISPUTES AND APPEALS PROCEDURE

AUTHORIZED OPERATIONAL AUTHORITY

LLC MIP "NES ProfExpert"

2022

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APPROVE

Director

LLC MIP "NES ProfExpert"

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September 26, 2022

**COMPLAINTS, DISPUTES AND APPEALS PROCEDURE
AUTHORIZED OPERATIONAL AUTHORITY
LLC MIP "NES ProfExpert"**

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Foreword

1. DEVELOPED AND INTRODUCED by an expert in the field of environmental safety (quality manager).

2. INTRODUCED FOR THE FIRST TIME.

3. The document contains or may contain trade secrets, copyright material, confidential information affecting the interests of the company, and may not be reproduced, transferred or copied without the prior written consent of the Director of MIP NES ProfExpert LLC.

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1. Introduction

1.1 Scope

This Standard is an internal document of the organization that establishes a procedure for handling complaints, disputes and appeals.

This Standard is part of the QMS documentation and its requirements are guided by specialists of the Environmental Safety Department of LLC MIP NES ProfExpert.

This standard has been developed in accordance with the provisions of CDM-EB46-A02-STAN "CDM accreditation standard".

1.2. Normative references

When using this Standard, the following referenced documents are necessary:

- CDM-EB46-A02-STAN "CDM accreditation standard";
- ISO 9001:2015 "Quality management systems - requirements";
- ISO 14001:2015 "Environmental management systems - a practical guide for smes";
- ISO/IEC 17029:2019 "Conformity assessment - General principles and requirements for validation and verification bodies";
- CDM-EB111-A010 Procedure "CDM project cycle procedure for project activities";
- CDM-EB111-A011 Procedure "CDM project cycle procedure for programs of activities";
- CDM-EB111-A01 Standard "CDM project standard for project activities";
- CDM-EB111-A02 Standard "CDM validation and verification standard for project activities";
- CDM-EB111-A03 Standard "CDM project standard for programs of activities";
- CDM-EB111-A04 Standard "CDM validation and verification standard for programs of activities".

1.3 Terms and definitions

In this document, the terms with the corresponding definitions are used:

Appeal— a request submitted by a Client to formally review a decision taken by the DOE regarding its validation and/or verification/certification activities;

Accreditation under the CDM— official recognition by the Board of the institutional capacity, competence and impartiality of the operating entity for the proper performance of valida-

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tion and (or) verification/certification functions in accordance with the rules and requirements of the CDM;

Requirement for accreditation under the CDM– a requirement adopted by the COP/MOP or Board that an operating entity must meet in order to obtain and maintain accreditation

Client– project participant or coordinating/managing organization to which the DOE provides validation or verification/certification services under the contract;

Competence– the ability to apply knowledge and skills to perform validation and (or) verification / certification activities in accordance with all the rules and requirements of the CDM;

Complaint– a formal expression of dissatisfaction, whether oral, electronic or written, with respect to the performance of the DOE or its third parties regarding their validation or verification/certification functions, from any source: Clients, project participants, the general public or its representatives, government agencies, non-governmental organizations, etc.;

Corrective action– action to eliminate the cause of the detected nonconformity in order to prevent its recurrence;

Designated Operational Entity (DOA)– an entity designated by the COP/MOP on the recommendation of the Board as qualified to perform validation and/or verification/certification functions;

Dispute– disagreement between the DOE and its Client regarding recommendations and/or opinions/decisions made at various stages during validation and/or verification/certification;

Knowledge– theoretical and (or) practical understanding of the subject;

Mismatch– non-compliance with the requirement for accreditation under the CDM;

Third-party organizations– other entities to which the DOE outsources some validation and verification/certification functions;

preventive action– action aimed at preventing the occurrence of nonconformities and improving the efficiency of the process;

Related body– an organization and/or body associated with the MBO on the basis of common ownership and/or management, personnel, common resources, finances, contracts,

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marketing and payment of commissions or other incentives to start a business or refer new Clients, etc.;

Root Cause Analysis— a method, approach or process for identifying the underlying causes, sources and/or contributing factors that initiate, trigger or give rise to nonconformities;

Industry area— a group of activities and processes that use similar sources of greenhouse gas (GHG) emissions or removals;

Skill— application in practice; skill;

Technical area— sub-sector of the industry area, determined on the basis of the nature of technical processes, methodologies applied, requirements for monitoring and (or) environmental impact;

Technical expert— a qualified person who provides specific technical, methodological and industry knowledge and/or experience to a validation or verification/certification team or technical review team;

Technical check— an evaluation of the validation or verification/certification report and report, conducted independently of the validation or verification/certification team that prepared the report and report, to ensure that the validation or verification/certification was carried out in accordance with all applicable validation or verification requirements /certification under the CDM;

Technical Reviewer— a qualified person assigned to carry out the technical review of the technical review team;

Technical Review Group— one or more persons conducting a technical check;

Validation or verification/certification personnel— persons performing validation activities (validator, team leader, technical expert and technical reviewer) or verification/certification activities (verifier, team leader, technical expert and technical reviewer);

Validation or verification/certification team— one or more validators or verifiers/certifiers;

Validation or verification/certification team leader— a qualified person designated to direct and supervise the validation or verification/certification team conducting the validation or verification/certification;

Validator or verifier— a qualified person assigned to perform validation or verification/certification in a validation or verification/certification team.

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1.4 Abbreviations

GHG - greenhouse gas

CDM - Clean Development Mechanism

ND - normative documentation

UOO - authorized operational body

QMS - quality management system

SM - management system

STO - organization standard

COP/MOP - the conference of the parties serving as the meeting of the parties to the Kyoto Protocol

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2. General information

This procedure describes a system by which legal entities or individuals interested in greenhouse gas validation / verification services, persons directly or indirectly interested in validation / verification decisions made by LLC MIP NES ProfExpert, can resolve disputes arising in their relationship with LLC MIP NES ProfExpert.

The procedure for handling complaints, disputes and appeals can be provided to the Client upon request or in the event of a dispute, and this procedure is also available to all interested parties on the website of LLC MIP NES Profexpert - nesprofex.com.

3. Complaints

The procedure for analyzing complaints from Clients and other interested parties to the activity LLC MIP "NES ProfExpert" designed to meet the needs of Clients, project participants, the general public or its representatives, government agencies, non-governmental organizations, etc., and improving the management system of LLC MIP NES ProfExpert.

The implementation of the procedure provides for:

- appointment of personnel responsible for handling complaints;
- the process of receiving a complaint, collecting and verifying all necessary information to assess the validity of the complaint, investigate the complaint and decide what action should be taken in response to the complaint;
- criteria for determining the validity of complaints;
- tracking and recording complaints, including actions taken in response to them;
- ensuring that appropriate corrections and corrective actions are taken;
- maintaining the confidentiality of information about the Applicant and the subject of the complaint;
- ensuring that the individuals involved in the complaints handling process are different from those who performed the validation/verification activities;
- acknowledging receipt of the complaint and providing the complainant with a progress report, if possible;
- informing the applicant about the results of the review and notification of the end of the complaint review process;
- record keeping of complaints.

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3.1 Description of the complaints process

Complaints may be submitted to LLC MIP "NES ProfExpert":

- directly from Clients, project participants, the general public or its representatives, government agencies, non-governmental organizations, etc., while the management LLC MIP "NES ProfExpert" asks the Applicant to state the complaint in writing;

- from director LLC MIP "NES ProfExpert", through the reception, while the complaint is sent to the Department of Environmental Safety also in writing.

Upon receipt of a complaint, the head of the Environmental Safety Department determines whether the complaint relates to activities for which the Environmental Safety Department is responsible.

If it is determined that the complaint relates to an activity for which the Environmental Safety Division is responsible, then:

- the Head of the Environmental Safety Department sends the Applicant a notification that the complaint has been accepted for consideration. The notice also describes the process for handling complaints;

- the complaint is registered in the "Journal of Registration of Complaints, Disputes and Appeals".

In the event of a dispute, the same actions are taken:

- the head of the Environmental Safety Department sends the Applicant a notification that the dispute has been accepted for consideration. The notice also describes the pore handling process;

- the dispute is registered in the "Journal of Complaints, Disputes and Appeals"

All complaints of a different nature to the activities of the Department of Environmental Safety are subject to careful consideration.

3.2 Complaint (dispute) handling process

Incoming complaints are registered by an expert in the field of environmental safety (quality manager) in the "Journal of Claims, Disputes and Appeals", which reflects the essence of the complaint, as well as all subsequent actions to consider the complaint: an action plan to analyze the cause of the complaint, if necessary, selection and acceptance corrective actions, information about the employees responsible for each event, deadlines and marks of completion.

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The procedure for considering complaints about the activities of the Environmental Safety Department provides for the appointment by order of the head of the Environmental Safety Department of a commission to establish the causes of the complaint and make decisions. The commission includes the most qualified and experienced employees.

The Commission carries out the following actions:

- conducts a thorough analysis of the complaint;
- checks the correctness of the execution of reports, conclusions, etc.;
- checks the correctness of the calculations;
- if necessary, makes a decision on re-calculations;
- establishes the reasons for the complaint;
- outlines measures to eliminate these causes;
- determines the degree of guilt of the Department of Environmental Safety and specific executors.

The Head of the Environmental Safety Department reviews all the materials submitted by the commission, and, if necessary, invites specialists to consult on the most complex technical, legal and other issues.

During the investigation of the causes of the complaint, the head of the Environmental Safety Department takes the following actions:

- conducts an unscheduled internal audit of the area of activity of the Environmental Safety Department related to the complaint with the execution of documents for an unscheduled audit;
- takes (if necessary) administrative measures against the direct perpetrators;
- informs the Applicant about the acceptance of the complaint and his proposals for resolving the problem;
- performs the necessary corrective actions with registration in the "Journal of Registration of Nonconformities and Corrective Actions".

Ensuring that the necessary measures are observed is carried out by recording actions to eliminate the causes of complaints in the "Logbook of registration of non-conformities and corrective actions", indicating the deadlines and responsible executors.

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3.3 Responsibility for collecting and verifying all necessary information

The Department of Environmental Safety is responsible for collecting and verifying all necessary information in order to confirm the validity of the complaint.

Information is collected during an investigation and recorded in the Complaint, Dispute and Appeal Log and the Nonconformity and Corrective Action Log.

3.4 Acknowledgment of receipt of the complaint and informing the Complainant

After receiving the complaint, the answer about the validity or groundlessness is reported to the complainant within a period of not more than 5 days.

If, as a result of consideration of the complaint, it is established that it is unfounded, the head of the Environmental Safety Department sends the Applicant a reasoned refusal to accept the complaint.

If, as a result of consideration of the complaint, its validity is established, then the head of the Environmental Safety Department sends the Complainant a notification that the complaint has been accepted for consideration, which also indicates the process for handling complaints. The applicant in the process of considering the complaint is notified of the progress of the activities. After carrying out the activities to consider the complaint, the Applicant is notified of the results.

3.5 Participants in the consideration of the complaint

The commission to determine the reasons for the complaint and make decisions includes personnel from the Environmental Safety Department who did not participate in the validation / verification activities about which the complaint was received.

3.6 Communication to the Applicant of the results of the consideration of the complaint

Notification of the results of the consideration of the complaint is sent to the Applicant on the official letterhead of LLC MIP NES ProfExpert within 10 working days from the date of registration of the complaint.

In case of disagreement on the fact of the complaint and the results of their consideration, LLC MIP "NES ProfExpert" may apply to the Board and other competent organizations.

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The chief is responsible for the procedure for considering complaints about the activities of the Environmental Safety Department. All information about the Applicant and the subject of the complaint is confidential and not subject to disclosure.

4. Disputes

The dispute analysis procedure is designed to meet the needs of Clients and improve the management system LLC MIP "NES ProfExpert".

The implementation of the procedure provides for:

- appointment of personnel responsible for dispute resolution;
- the process of receiving a dispute, collecting and verifying all necessary information to assess the validity of the dispute, investigate the dispute and decide what actions should be taken in response to the dispute;
- criteria for determining the validity of disputes;
- tracking and recording disputes, including actions taken in response to them;
- ensuring that appropriate corrections and corrective actions are taken;
- maintaining the confidentiality of information about the Applicant and the subject of the dispute;
- ensuring that the persons involved in the dispute handling process are different from those who performed the validation/verification activities;
- acknowledging receipt of the dispute and providing the complainant with a progress report, if possible;
- informing the applicant about the results of the consideration and notification of the end of the dispute resolution process;
- record keeping of disputes.

4.1 Description of the process for receiving disputes

Disputes may come in LLC MIP "NES ProfExpert" from Clients regarding recommendations and/or opinions/decisions made at various stages during validation and/or verification/certification.

Upon receipt of a dispute, the head of the Environmental Safety Department registers the dispute in the "Complaints, Disputes and Appeals Register".

All disputes are subject to careful consideration.

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4.2 Dispute resolution process

Incoming disputes are registered by an expert in the field of environmental safety (quality manager) in the "Journal of Claims, Disputes and Appeals", which reflects the essence of the dispute, as well as all subsequent actions to resolve the dispute: an action plan to analyze the cause of the dispute, if necessary, selection and acceptance corrective actions, information about the employees responsible for each event, deadlines and marks of completion.

The procedure for considering disputes related to the activities of the Department of Environmental Safety provides for the appointment by order of the head of the Department of Environmental Safety of a commission to establish the causes of disputes and make decisions. The commission includes the most qualified and experienced employees.

The Commission carries out the following actions:

- conducts a thorough analysis of the dispute;
- checks the correctness of the execution of reports, conclusions, etc.;
- checks the correctness of the calculations;
- if necessary, makes a decision on re-calculations;
- establishes the reasons that caused the dispute;
- outlines measures to eliminate these causes;
- determines the degree of guilt of the Department of Environmental Safety and specific executors.

The Head of the Environmental Safety Department reviews all the materials submitted by the commission, and, if necessary, invites specialists to consult on the most complex technical, legal and other issues.

During the investigation of the causes of disputes, the head of the Environmental Safety Department takes the following actions:

- conducts an unscheduled internal audit of the area of activity of the Environmental Safety Department related to the dispute with the execution of documents for an unscheduled audit;
- takes (if necessary) administrative measures against the direct perpetrators;
- informs the Applicant about the acceptance of the dispute and his proposals for resolving the problem;

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- performs the necessary corrective actions with registration in the "Journal of Registration of Nonconformities and Corrective Actions".

Ensuring that the necessary measures are observed is carried out by recording actions to eliminate the causes of disputes in the “Logbook of registration of non-conformities and corrective actions”, indicating the deadlines and responsible executors.

4.3 Responsibility for collecting and verifying all necessary information

The Environmental Security Department is responsible for collecting and verifying all necessary information to confirm the validity of the dispute.

Information is collected during an investigation and recorded in the Complaint, Dispute and Appeal Log and the Nonconformity and Corrective Action Log.

4.4 Acknowledging receipt of disputes and informing the Applicant

After receiving the dispute, the answer about the validity or invalidity is reported to the submitter of the dispute within a period of not more than 5 days.

If, as a result of the consideration of the dispute, it is established that it is unfounded, the head of the Environmental Safety Department sends the Applicant a reasoned refusal to accept the dispute.

If, as a result of the consideration of the dispute, its validity is established, then the head of the Environmental Safety Department sends the Applicant a notification that the dispute has been accepted for consideration, which also indicates the process for handling disputes. The applicant in the process of considering the dispute is notified of the progress of the events. After the dispute resolution measures have been taken, the Applicant is notified of the results.

4.5 Participants in the dispute

The Cause-of-Dispute and Decision-Making Panel includes staff from the Environmental Safety Department who were not involved in the validation/verification activity that was disputed.

4.6 Communication to the Applicant of the results of the dispute

Notification of the results of the dispute is sent to the Applicant on the official letterhead of LLC MIP NES ProfExpert within 10 working days from the date of registration of the dispute.

In case of disagreement on the fact of the dispute and the results of their consideration, LLC MIP "NES ProfExpert" may apply to the Board and other competent organizations.

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The head is responsible for the dispute resolution procedure for the activities of the Environmental Safety Department. All information about the Applicant and the subject of the dispute is confidential and not subject to disclosure.

5. Appeals

The appeal process includes:

- creation of an independent appeal commission responsible for the appeal process;
- provisions to ensure that the persons involved in the appeal process are different from those who performed the validation/verification, including technical review and final decision making;
- provisions to ensure that the filing, investigation and decision on appeals will not lead to any discriminatory action against the Appellant;
- a brief description of the process for receiving, validating and investigating an appeal once it has been validated, ensuring that decisions take into account all relevant information available and collected as part of the investigation;
- tracking and recording appeals, including actions taken to resolve them;
- ensuring that when an investigation indicates a nonconformity, appropriate corrections and corrective actions are taken to address gaps in the system, especially if the investigation points to any gaps in the system;
- ensuring the confidentiality of Appellant and subjects of appeals;
- providing the Appellant with a report on the progress of the investigation and consideration of the appeal and providing information / notification of the final decision;
- ensuring that the final decision is made by an independent appeal commission.

5.1 Description of the process for receiving appeals

Appeals may be made to LLC MIP "NES ProfExpert":

- directly from the Appellant, while the management LLC MIP "NES ProfExpert" requests the Appellant to put the appeal in writing;
- from director LLC MIP "NES ProfExpert", through the reception, while the appeal is sent to the Department of Environmental Safety also in writing.

Upon receipt of an appeal, the chief takes the following actions:

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- the Head of the Environmental Safety Department sends the Appellant a notification that the appeal has been accepted for consideration. The notice also describes the process for handling appeals;

- the appeal is registered in the "Journal of Complaints, Disputes and Appeals"

All appeals of a different nature to the activities of the Department of Environmental Safety are subject to careful consideration.

5.2 Appeal process

Incoming appeals are registered by an expert in the field of environmental safety (quality manager) in the "Journal of Claims, Disputes and Appeals", which reflects the essence of the appeal, as well as all subsequent actions to consider the appeal: an action plan for the analysis of the appeal, if necessary, the selection and adoption of corrective actions, information about the employees responsible for each event, deadlines and marks of completion.

The procedure for considering an appeal against the activities of the Environmental Safety Department provides for the appointment of an appeal commission by order of the head of the Environmental Safety Department to establish the reasons and make decisions. The commission includes the most qualified and experienced employees.

The Commission carries out the following actions:

- conducts a thorough analysis of the appeal;
- checks the correctness of the execution of reports, conclusions, etc.;
- checks the correctness of the calculations;
- if necessary, makes a decision on re-calculations;
- establishes the reasons for the appeal;
- outlines measures to eliminate these causes;
- determines the degree of guilt of the Department of Environmental Safety and specific executors.

The Head of the Environmental Safety Department reviews all the materials submitted by the commission, and, if necessary, invites specialists to consult on the most complex technical, legal and other issues.

During the investigation of the appeal, the head of the Department of Environmental Safety takes the following actions:

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- conducts an unscheduled internal audit of the area of activity of the Environmental Safety Department related to the appeal with the execution of documents for an unscheduled audit;
- takes (if necessary) administrative measures against the direct perpetrators;
- informs the Appellant about the acceptance of the appeal and his proposals for resolving the problem;
- performs the necessary corrective actions with registration in the "Journal of Registration of Nonconformities and Corrective Actions".

Ensuring that the necessary measures are observed is carried out by recording actions to eliminate the causes of the appeal in the "Journal of Registration of Nonconformities and Corrective Actions", indicating the deadlines and responsible executors.

5.3 Responsibility for collecting and verifying all necessary information

The Environmental Safety Department is responsible for collecting and verifying all necessary information for the purpose of investigating an appeal.

Information is collected during an investigation and recorded in the Complaint, Dispute and Appeal Log and the Nonconformity and Corrective Action Log.

5.4 Acknowledging receipt of the appeal and informing the Complainant

Upon receipt of the appeal, the Head of the Environmental Safety Division will send the Appellant a notice that the appeal has been accepted for consideration, which also indicates the process for handling appeals. The Appellant is notified of the progress of the activities during the appeal process. After the proceedings for the consideration of the appeal, the Appellant is notified of the results.

5.5 Participants in the appeal

The panel for determining the reasons for the appeal and making decisions includes personnel from the Environmental Safety Department who did not perform the validation/verification, including the technical review and final decision, about which the appeal was received.

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5.6 Communicating the results of the appeal to the Appellant

Notification of the results of the consideration of the appeal is sent to the Appellant on the official letterhead of LLC MIP NES ProfExpert within 10 working days from the date of registration of the appeal.





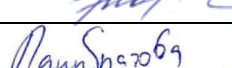
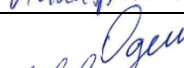
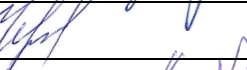

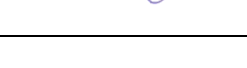
If the Appellant is not satisfied with the decision of MIP NES Profexpert, LLC informs the Appellant that he has the opportunity to file a complaint with the Board.

The head of the Department of Environmental Safety is responsible for the procedure for considering appeals. All information about the Appellant and the appeal is confidential and not subject to disclosure.

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Reference list

I have read and accept this document:

| No. | Surname, initials | Signature | Date of |
|-----|-------------------------|--|------------|
| 1. | Kamaliyev D.S. |  | 26.09.2022 |
| 2. | Akutin M.V. |  | 26.09.2022 |
| 3. | Yuranets-Luzhaeva R.Ch. |  | 26.09.2022 |
| 4. | Odemchuk G.V. |  | 26.09.2022 |
| 5. | Moryakova M.M. |  | 26.09.2022 |
| 6. | Panibratova L.A. |  | 26.09.2022 |
| 7. | Odemchuk S.V. |  | 26.09.2022 |
| 8. | Chernikova Yu.A. |  | 26.09.2022 |
| 9. | Abutalipov A.M. |  | 26.09.2022 |
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