

COMPLAINTS POLICY

Last updated 9th November 2021

The purpose of this document is to provide a clear guidance for the treatment of complaints to ensure all complaints are handled consistently, equitably and in a timely manner. The following procedure sets the precedent for the professionalism in which Upscale Carbon expects its employees to demonstrate with regards to complaints management.

Complaints are to be treated as an opportunity for feedback and improvement.

SCOPE

All employees and associates acting on behalf of Upscale Carbon have a responsibility to be aware of and adhere to this policy.

DEFINITIONS

Complaint – an expression of dissatisfaction with an action or service of a Signatory where a response or resolution is explicitly or implicitly expected (see AS/NZS 10002:2014).

COMPLAINT PROCEDURE

- Identify if a complaint is being made.
- Complainant to receive a copy of this policy document and a complaints form to formalise areas of concern and commence the process.
- Internal procedure in accordance with **Figure 1**.
- As a signatory to the Carbon Market Institute’s Code of Conduct, Upscale Carbon follows the Code’s reporting and notification requirements as a form of best practice as well as recognising our obligations under the Code. Notification and process requirements as mandated as signatories summarised in **Table 1**.

Table 1.

Process	Key Dates
Complainant identifies an area of concern against Upscale Carbon	Notification to the Code Administrator within 10 business days Signatory Self-Reporting Form - Carbon Market Institute
Initial timeframe for investigation completion, Upscale Carbon to provide feedback to complainant of its investigation	Within 21 days of receiving the complaint
If further time is required, Upscale Carbon is to inform the complainant and notify the Code Administrator	Within 21 days of receiving the complaint
Investigation to be finalised and feedback provided to complaint	Within 45 days of receiving the complaint

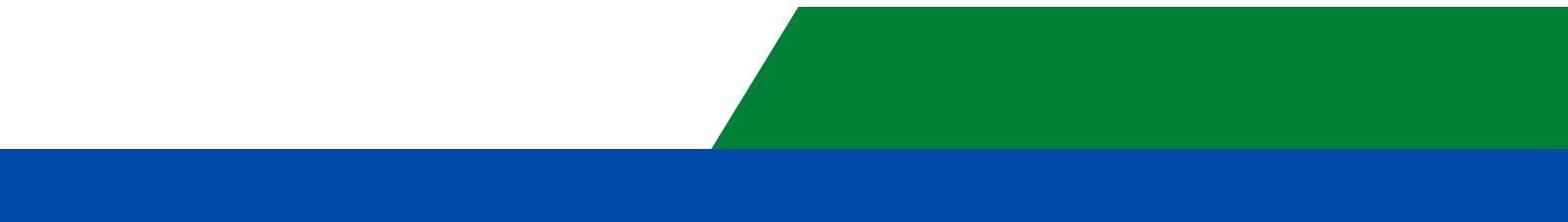


FIGURE 1: Internal complaint handling procedure

