


APPEALS, COMPLAINTS & DISPUTES		Document No.	CDM-P-06
		Version	02.1
		Date of Issue	14 th May, 2018
Reviewed By	Manager Quality (CDM)	Approved By	Managing Director
<p>1.0 Purpose</p> <p>To lay down procedure for receiving, managing, evaluating, and investigating complaints, disputes, and appeals, making decisions on them, and taking appropriate corrections and corrective actions.</p> <p>2.0 Scope</p> <p>All complaints, disputes and appeals received from clients or any other stake holder.</p> <p>3.0 Policy & Procedure</p> <p>3.1 It is KBS's endeavor to act on any claim of dissatisfaction that is brought to its attention by any interested party. Expressions of dissatisfaction are categorized as follows:</p> <ul style="list-style-type: none"> a) Complaint: Formal (written) and/or informal (verbal) expression of dissatisfaction/protest regarding the CDM related functions, other than appeal, by any person or clients organization (the project proponent), the general public or its representatives, government bodies, NGO's, etc relating to the activities of KBS b) Disputes: Disagreement between KBS and the client regarding the KBS's recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions. c) Appeal: Formal request by the customer or other parties for reconsideration of any decision made by KBS related to its validation / verification / certification process. <p>3.2 The procedure is available publically on the web site of KBS.</p> <p>3.3 Procedure for Complaints</p> <p>Manager- ACD is responsible for handling of complaints. The complaints received may be formal (written) and/or informal (verbal).</p> <p>3.3.1 Written complaints are received and recorded in the 'Appeals, Complaints & Disputes Form (CDM-F-13)' by Manager- ACD. He/she gathers and verifies all necessary information for evaluating the validity of the complaint, investigates the complaint and decides actions to be taken in response to the complaint. A complaint is treated valid only if it pertains to any activity or function with regard to KBS CDM validation and/or verification/certification. The complaints, including actions undertaken in response to them are tracked and records are maintained in F-13. Manager ACD ensures that appropriate corrections and corrective actions are taken and recorded in F-13. The confidentiality of complainant and subject of complaint is safeguarded. The process is subject to requirements for confidentiality, as it relates to the complainant and the subject of complaint. He /she ensure that the persons engaged in the complaint handling process are different from those who carried out the validation or verification/certification activities. Where the complaint involves Manager ACD, MD nominates the a person to handle the complaint. The persons handling the complaint acknowledges the receipt of the complaint provides the progress report where feasible and informs the complainant of the outcome of the investigation and the final notice of the end of the complaints handling process. If the complainant is not satisfied with the decision, the complaint is referred to "Committee For Safeguarding Impartiality & Confidentiality And For Addressing Appeals, Complaints And Disputes (CSICACD). The decision of CSICACD becomes final.</p> <p>3.3.2 Informal complaints (verbal) are usually pertaining to small matters and are dealt with by the receiving person at the point of activity itself. If the verbal complaint is found to be of serious nature it is recorded in F-13 and handled further as above. If the complaint concerns to a function/activity for which the receiving person is not directly responsible, the complaint is passed on to the concerned person for appropriate investigation and action. The person dealing with the received complaint verifies all necessary information for evaluating the validity of the complaint, investigates the complaint and decides the actions to be taken. He/she informs the complainant the actions taken. If the complainant is not satisfied with the response, the</p>			

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complaint will be dealt-with as per the procedure for formal complaint.			

3.4 Procedure for Disputes

Disputes are received in the ‘Appeals, Complaints & Disputes Form (CDM-F-13) by Manager ACD. He/she gathers and verifies all necessary information for evaluating the validity of the dispute, investigates the dispute and decides actions to be taken in response to the dispute. A dispute is treated valid only if it pertains between KBS and any stakeholder with regard to KBS CDM validation and/or verification/certification activities. The disputes, including actions undertaken in response to them are tracked and records are maintained in F-13. Manager ACD ensures that appropriate corrections and corrective actions are taken and recorded in F-13. The confidentiality of the disputes and subject of disputes is safeguarded. The process is subject to requirements for confidentiality, as it relates to the disputes and the subject of disputes. He /she ensure that the persons engaged in the dispute handling process are different from those who carried out the validation or verification/certification activities. Where the dispute involves Manager ACD, MD nominates the person to handle the dispute. The persons handling the dispute acknowledges the receipt of the dispute, provides the progress report where feasible and informs the disputant of the outcome of the investigation and the final notice of the end of the dispute handling process. If the disputant is not satisfied with the decision of persons, the dispute is referred to “Committee For Safeguarding Impartiality & Confidentiality And For Addressing Appeals, Complaints And Disputes (CSICACD). The decision of CSICACD becomes final.

3.5 Procedure for Appeals

3.5.1 Appeals are received, acknowledged and recorded in ‘Appeals, Complaints & Disputes Form (CDM-F-13)’ by Manager ACD. He/ She gathers and verifies all necessary information for evaluating the validity of the appeal. An appeal is treated valid only if it pertains between KBS and any stakeholder with regard to KBS CDM validation and/or verification/certification activities. Manager ACD refers the appeal to “Committee For Safeguarding Impartiality & Confidentiality And For Addressing Appeals, Complaints And Disputes (CSICACD)”and ensures that the person engaged in the appeal process differ from those who conducted the validation or verification/certification, including the technical reviewer and final decision making. Manager ACD obtains a written declaration from each members of the Committee handling the appeal process that the submission, investigation and decision on appeals will not result in any discriminatory actions against the appellant. The committee investigates and decides on the appeal taking into account all the relevant information available and gathered as part of the investigation. The committee makes final decision in F-13 and is communicated to appellant by Manager ACD. The confidentiality of the appeals and subject of the appeal is safeguarded. The process is subject to requirements for confidentiality. The person handling the appeal provides the progress reports on the appeal investigation and handling to the appellant and provides information/notice on the final decision.

3.5.2 The appellant is informed of the independent *Committee’s* decision. In cases where the appellant is not satisfied with the decision, the appellant is informed that it has the option of making a complaint to the Board.

4.0 RECORDS

- a) Appeal & Complaint Form (CDM-F-13)
- b) Lists of Appeals, Complaints & Disputes (CDM-D-5)
- c) Corrective Action Record (CDM-F-11)

REVISION HISTORY

VERSION	DATE	DESCRIPTION
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2.0	4 th Dec, 2014	Fresh issue to align the procedure with AS Version 6.0
2.1	14 th May 2018	Revised as corrective actions implemented for NC received during surveillance audit.