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|  | APPEALS, COMPLAINTS & DISPUTES | | Document No. | CDM-P-06 |
| | | | Version | 02.2 |
| | | | Date of Issue | 01 Feb 2021 |
| 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 GHG/ 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 publicly on the web site of KBS.</p> <p>3.3 Procedure for Complaints</p> <p>Manager, Appeals, Complaints and Dispute (ACD) is responsible for handling of complaints.</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 <i>validation/ verification</i> activities with regard <i>to the</i> validation and/or verification/certification <i>for which KBS is responsible</i>.</p> <p>Manager ACD ensures that appropriate corrections and corrective actions are taken and recorded in F-13. 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 <i>related to complaint</i>. Where the complaint involves Manager ACD, MD nominates <i>another</i> 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 <i>the outcome</i>.</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.</p> | | | | |

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| <p>3.4 Procedure for Disputes</p> <p>Disputes are received/<i>recorded</i> 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 GHG/ 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</p> |
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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 *another* 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. *The records of disputes are maintained.*

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 GHG/ CDM validation and/or verification/certification activities.

Manager ACD *establishes an "Independent Panel" on receipt of the appeal to handle the appeal process.* Manager ACD ensures that the person engaged in the appeal *panel* are different from those who conducted the validation or verification/certification, including the technical reviewer and final decision making.

KBS ensures that the appeal handling process doesn't result in any discriminatory actions against the appellant. The *panel* investigates and decides on the appeal taking into account all the relevant information available and gathered as part of the investigation. The *panel* 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 *progress report on the appeal investigation and handling and the panel's final* 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 *Executive Board of UNFCCC, in case of CDM.*

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 | | |
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| VERSION | DATE | DESCRIPTION |
| 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. |
| 2.2 | 01 st Feb 2021 | <i>Revised as corrective actions implemented for concern received during NABCB audit for ISO14065.</i> |
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