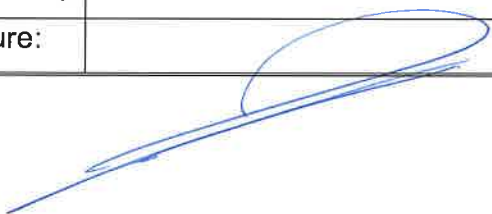


DOCUMENTED PROCEDURE
HANDLING OF COMPLAINTS (CLAIMS) AND APPEALS AGAINST
ENVIRONMENTAL INFORMATION VERIFICATION AND VALIDATION BODY DECISIONS

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Signature:			



Carbon Assurance FZ L.L.C



Sustainability District, 2 Mangrove Quarter A, Unit 2, First Floor,
Expo City Dubai, Expo Road, Dubai - UAE, PO BOX 445440



E: info@carbon-assurance.com
W: www.carbon-assurance.com



Licence No: 00063
T: +971 425 10 619

CHANGE HISTORY

Date	Revision	Description of change
08.01.2024	00	First Issue for use under Carbon Assurance Name
06.01.2025	01	Revision by CA Top Management

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1. SCOPE

This Documented Procedure (hereinafter referred to as the DP) on Handling of Complaints (claims) and Appeals on decisions of the environmental information validation and verification body Carbon Assurance FZ L.L.C. (hereinafter referred to as VVB) has been developed in order to meet the requirements of ISO 14065:2020.

2. PURPOSE

This document has been developed with the aim of establishing a unified procedure for ensuring the procedure for managing complaints (claims) and appeals against decisions of the VVB, including receiving, assessing and making decisions on complaints (claims) and appeals.

3. NORMATIVE REFERENCES

This DP contains references to the following regulatory documents:

- ISO/IEC 17029:2019 Conformity assessment — General principles and requirements for validation and verification bodies;
- ISO 14065:2020 General principles and requirements for bodies validating and verifying environmental information;
- ISO 10002:2018 Quality management — Customer satisfaction — Guidelines for complaints handling in organizations.

4. TERMS AND DEFINITIONS

Definitions are described in the documented procedure on the records on the validation and verification activities of VVB (CA-DP-03).

5. GENERAL

5.1. There are two types of complaints received by the VVB.

5.1.1. The first category of complaints relates to validation and/or verification processes and/or appeals, as well as to the way in which validation and/or verification processes operate. This is the type of specific complaint (claim) that, if left unresolved, could damage the reputation of VVB.

5.1.2. The second category of complaints relates to the quality of services provided by VVB. The consideration of these complaints is part of the normal business process and is not subject to control by this Regulation. The process of managing such complaints is carried out in VVB in accordance with the provisions of the international standard ISO 10002:2018 Quality management. Customer satisfaction. Guidelines for complaints handling in organizations.

5.2. All complaint/appeal decisions shall be documented to provide traceability for analysis of future complaint/appeals and to ensure consistent decision making and an understanding of complaint/appeal trends.

5.3. Effective resolution of complaints and appeals is an important safeguard against errors for VVB, its customers and intended users.

5.4. The process of reviewing complaints and appeals is ensured by the confidentiality of information in accordance with the Regulation on Confidentiality (CA-RG-04).

5.5. Upon receipt of a complaint, the CEO VVB determines whether the complaint relates to validation and/or verification activities for which he is responsible, in which case it is his responsibility to investigate it.

5.6. VVB is responsible for all decisions at all levels of the complaints and appeals process.

6. REQUIREMENTS FOR THE PROCESS OF CONSIDERING COMPLAINTS (CLAIMS) AND APPEALS

6.1. The complaints' and appeals' handling process includes the following steps:

- a description of the process of receiving, validating, analyzing a complaint (claim) or appeal and deciding what actions should be taken in response;
- tracking and recording complaints (claims) and appeals, including the actions taken to resolve them;
- confirmation of the implementation of appropriate actions.

6.2. In the event of a complaint (claim) or appeal, VVB is responsible for collecting and verifying all necessary information to confirm the reliability of this complaint (claim) or appeal.

6.3. VVB acknowledges receipt of the complaint or appeal and provides the complainant with a progress and outcome report.

6.4. The decision on a complaint or appeal shall be made and approved by a person(s) not involved in the preparation of the validated and/or verified environmental information statement, as well as the validation and/or verification activities referred to in the complaint (claim) or appeal.

If the resources of the VVB do not allow this, an alternative approach is used that does not compromise impartiality.

6.5. The complainant (claimant) or appellant shall be notified by VVB of the decision taken on the complaint or appeal by sending a corresponding notice to him/her.

7. PROCEDURE FOR CONSIDERING COMPLAINTS AND APPEALS AND RESPONSIBILITIES OF VVB

7.1. The Client and the prospective user have the right to submit a written request to VVB containing a complaint (claim) or appeal against VVB decisions taken with respect to their environmental information statements (hereinafter referred to as the request).

This request must contain:

- the full name of the complainant (claim) or appeal, the postal and e-mail address to which notification of receipt of the complaint (claim) or appeal, as well as notification of the results of their consideration, must be sent;
- a description of the complaint (claim) or appeal, including information about the decision being contested and the arguments on the basis of which the complainant disagrees with it;
- the personal signature of the person authorized by the complainant (claim) or appeal or his representative;
- the date of the request.

7.2. No later than 5 working days from the date of receipt of the request, GM VVB shall check its compliance with the requirements of paragraph 7.1 of this DP and ensure its registration in the Registration Log of Complaints (Claims) and Appeals against VVB Decisions (hereinafter referred to as the Registration Log) CA-DP-04-F01.

If the received request does not comply with the requirements of paragraph 7.1 of this Procedure, it shall be considered as a written request not related to complaints and appeals, and shall not be registered in the Registration Log. Within 5 working days from the date of receipt of the request, GM VVB shall prepare and send a response to the request, containing the reasons for refusing to register it as a complaint (claim) or appeal.

7.3. Within 3 working days from the moment of registration of the request in the Registration Log, the CEO VVB conducts a preliminary assessment of the information set out in the complaint (claim) or appeal, as a result of which:

- confirms whether this complaint or appeal relates to decisions made by the VVB;
- determines the time frame for consideration of the complaint or appeal;
- formulates proposals on the composition of the Complaints (Claims) and Appeals Committee;

- establishes the time frame for sending the corresponding notification of receipt to the complainant (claim) or appeal;
- appoints a person from among the VVB personnel who did not participate in the validation and/or verification process, the decision on which is being appealed, authorized to interact with the complainant (claim) or appeal in terms of providing information on the progress of the complaint (claim) or appeal.

7.4. Based on the results of the preliminary review of the complaint (claim) or appeal (see clause 5.3), GM VVB sends a written notice of receipt of the complaint (claim) or appeal to the address specified in the request, containing, among other things, information on the timeframe for its review, as well as the contact details of the person authorized to provide information on the progress of the review of the complaint (claim) or appeal.

7.5. Based on the decision of the CEO VVB, on each fact of receipt of a complaint (claim) or appeal, on the day of receipt of the complaint (claim) or appeal by VVB, a Complaints (Claims) and Appeals Committee (hereinafter referred to as the Committee) is created, including the appointment of the Chairman of the Committee, its secretary and members, and the approval of the rules of procedure of the Committee.

The Committee shall include persons, including experts in validation and/or verification, who did not participate in the validation and/or verification procedures, as well as the preparation of the statement of environmental information, the decision on which is being appealed.

7.6. All stages of the Committee's work are documented by the Secretary of the Committee and are recorded in the form of minutes of the Committee's meeting.

7.7. The result of the Committee's work is a decision of the Committee, taken by a simple majority of votes, to satisfy or reject the complaint (claim) or appeal, as well as the actions that VVB must take in response.

7.8. Within 3 working days from the date of publication of the final minutes of the Committee meeting, the GM VVB shall enter the relevant information into the Registration Log, and shall also send a written notice of the results of the consideration of the complaint (claim) or appeal to the address of the complainant (claim) or appeal specified in the appeal, with an extract from the final minutes of the Committee meeting attached.

7.9. If a validation and/or verification statement requires revision, the VVB shall implement processes to ensure that a revised validation and/or verification report and a revised validation and/or verification statement that specifies the reasons for the revision are issued.

7.10. The decision to review the contested decision of the VVB shall be taken in accordance with the procedure provided for by the VVB SM.

8. MANAGING RECORDS

Record name	Code	Storage		Responsibility
		Retention time	Storage	
Registration Log of Complaints (Claims) and Appeals against VVB Decisions	CA-DP-04-F01	5 years	Office of CEO VVB	GM VVB