

	NES GREEN INSPECTION (OPC) PVT. LTD.	Doc. No. PCP-15
	PROCEDURE FOR RESOLUTION OF APPEAL, COMPLAINTS AND DISPUTES	Rev. No: 00; Rev Date:
	Issue No. 01 ; Issue Date :01.06.2025	Page 2 of 5

1.0 Purpose:

To document, establish, implement and maintain the documented process to receive, evaluate and address the Complaints and Appeals received by NES GREEN as per requirements of ISO/IEC 17065 and CARB & EPA Regulations certifying products, processes and services.

2.0 Scope:

This procedure is applicable to all complaints and appeal received by NES GREEN related to its certification

3.0 Responsibility

Chief Executive Officer

4.0 Procedure:

4.1 Appeals

4.1.1 Any client shall make an appeal to the Chief Executive Officer of NES GREEN in respect of the following,

- (a) Non acceptance of client's application for certification
- (b) Granting, suspending, withdrawing or denying of certification
- (c) Any other relevant appeal

4.1.1.1 NES GREEN shall communicate to the appellant within 7 working days of receipt of the appeal about a provision for providing an opportunity to formally present their case.

4.1.2 NES GREEN shall record all appeals in document **FT-13 Appeal Register** and acknowledge the receipt of the appeal.

4.1.3 All appeals are reviewed by the appeal panel constituted by Chief Executive Officer for each appeal. The appeal panel shall contain at least two members from NES GREEN's auditor panel who have not been part of the audit and also not involved in certification decision or involved in the subject of the appeal. For appeal against the decision of the Chief Executive Officer the matter shall be referred to the chairman of the impartial committee for constituting the panel and taking the decision.

4.1.4 The appeal panel shall investigate the appeal by looking into the records and / or talking to the appellant and NES GREEN and shall take a decision taking into account the results of any previous such appeals. NES GREEN gathers and verifies all necessary information to validate the appeal.

4.1.5 NES GREEN shall ensure that there is no conflict of interest, personnel (including those acting in a managerial capacity) who have provided consultancy for a client, or been employed by a client, shall not be used by NES GREEN to review or approve the resolution of a complaint or appeal for that client within two years following the end of the consultancy or employment.

	NES GREEN INSPECTION (OPC) PVT. LTD.	Doc. No. PCP-15
	PROCEDURE FOR RESOLUTION OF APPEAL, COMPLAINTS AND DISPUTES	Rev. No: 00; Rev Date:
	Issue No. 01 ; Issue Date :01.06.2025	Page 3 of 5

4.1.6 NES GREEN shall be responsible for all decisions at all levels of the appeal handling process. The decision on the appeal is reviewed and approved by Chief Executive Officer and is communicated to the client. This completes the appeal process and NES GREEN shall also inform the appellants at this time about the closure of the appeal.

4.1.7 Based on the decision of the appeal panel NES GREEN shall initiate appropriate correction and corrective action and the same recorded in **FT-13 Appeal Register**. Whenever possible appeals, complaints shall be addressed within 30 working days from the receipt of the appeal and NES GREEN shall provide the client with progress reports and the outcome.

4.1.8 NES GREEN shall ensure that the submission, investigation and decision on appeals shall not result in any discriminatory action against the appellants.

4.2 Complaints

4.2.1 NES GREEN shall receive, evaluate and make decisions on complaints while taking utmost care for confidentiality, as it relates to the complainant and to the subject of the complaint. Information about complaint handling process of NES GREEN is made publicly available through website. The complaints handling process includes the following:

- a) An outline of the process for receiving, validating, investigating the complaint and for deciding what actions to be taken in response to it
- b) Tracking and recording complaints, including actions undertaken in response to them;
- c) Ensuring that any appropriate correction and corrective action are taken.

The Chief Executive Officer is responsible for gathering and verifying all necessary information to validate the complaint and all decisions at all levels of the complaints handling process.

Submission, investigation and decision on complaints do not result in any discriminatory actions against the complainant. Any valid complaint about a certified client shall also be referred by NES GREEN to the certified client in question at an appropriate time.

4.2.2 The complaint can be made to the Chief Executive Officer by the client or any other interested party in writing giving details of the complaint. The complaint shall either relate to the certification activities of NES GREEN or to the certified client and its activities.

4.2.3 The complaints received are recorded in **FT-33 Complaints log** and is acknowledged to the complainant. The Chief Executive Officer shall review the complaint to ascertain the seriousness and the genuineness of the complaint. NES GREEN shall provide the complainant with progress reports and the outcome.

4.2.4. The complaint redressal process:

4.2.4.1. Complaints against NES GREEN from the client or third party

- (a) Depending on the nature of the complaint, Chief Executive Officer of NES GREEN shall decide to conduct the investigation himself or appoint a complaint panel for each complaint.

	NES GREEN INSPECTION (OPC) PVT. LTD.	Doc. No. PCP-15
	PROCEDURE FOR RESOLUTION OF APPEAL, COMPLAINTS AND DISPUTES	Rev. No: 00; Rev Date:
	Issue No. 01 ; Issue Date :01.06.2025	Page 4 of 5

The complaint panel shall contain at least two members from NES GREEN who have not been part of the audit and also not involved in certification decision or involved in the subject of the complaint. Further, the complainant shall be given an opportunity to present the case to the panel in person if he so desires.

- (b) The complaint panel shall investigate the complaint by looking into the records and / or talking to the complainant and NES GREEN and shall take a decision taking into account the results of any previous such complaints.
- (c) The details of investigation and the correction and the corrective actions identified are recorded in the complaint register. Upon verification on the effectiveness of corrective action taken, NES GREEN shall inform the complainant about the correction and corrective action taken and if the complainant is satisfied with the actions taken the complaint is treated as closed. The final Decision on the resolution of complaint shall be taken by the Chief Executive Officer of NES GREEN.

4.2.4.2. Complaints against the certified client from its customers or any other third party:

- (a) NES GREEN shall inform the client about the complaint received and ask the client to investigate the complaint and report the findings to NES GREEN within two weeks from the date of receiving the complaint by the client.
- (b) If NES GREEN does not receive any response from the client or the action taken by the client is not found effective, NES GREEN shall inform the client accordingly and ask for a special audit at the client site by NES GREEN. On confirmation from the client NES GREEN shall conduct a special audit as per NES GREEN procedure and investigate the complaint.
- (c) If the complaint is of serious nature NES GREEN shall initiate the special audit directly with the client
- (d) As its policy, NES GREEN shall not disclose the identity of the complainant to the client.
- (e) If any action is needed to be taken by the client NES GREEN shall verify the effectiveness of such action by suitable means appropriate to the gravity of the problem.
- (f) If the corrective action taken by the client is found effective NES GREEN shall inform the complainant accordingly and the complaint shall then be treated as closed.

4.2.5. NES GREEN shall decide to make public the complaint and its resolution if agreed with client and complainant.

4.3. Dispute Resolution Process

4.3.1. Scope of Disputes

Disputes refer to any disagreement or conflict arising between NES GREEN and its certified client, which may pertain to contractual obligations, certification decisions, audit outcomes, financial terms, or any other matter not resolved through the complaint or appeal mechanisms.

	NES GREEN INSPECTION (OPC) PVT. LTD.	Doc. No. PCP-15
	PROCEDURE FOR RESOLUTION OF APPEAL, COMPLAINTS AND DISPUTES	Rev. No: 00; Rev Date:
	Issue No. 01 ; Issue Date :01.06.2025	Page 5 of 5

4.3.2. Initial Resolution Attempt

- (a) Upon identification of a dispute, both parties shall first attempt to resolve the matter through direct and amicable negotiations.
- (b) NES GREEN shall designate a senior representative, not involved in the original matter of dispute, to engage with the client and facilitate resolution discussions.
- (c) The client shall also be encouraged to nominate a representative with appropriate authority to participate in the resolution process.
- (d) All discussions shall be documented, and efforts shall be made to reach a mutually acceptable resolution within 30 calendar days from the date the dispute is formally acknowledged.

4.3.3. Referral to Arbitration

- (a) If the dispute remains unresolved after the negotiation period, either party may refer the matter to arbitration in accordance with the provisions of the Indian Arbitration and Conciliation Act, 1996.
- (b) The arbitration shall be conducted by a sole arbitrator mutually agreed upon by both parties. If mutual agreement is not reached within 15 days, the arbitrator shall be appointed as per the procedure laid down in the Act.
- (c) The arbitration proceedings shall be held in Delhi, India, and conducted in English.
- (d) The decision of the arbitrator shall be final and binding on both parties.
- (e) Each party shall bear its own costs related to the arbitration, unless otherwise directed by the arbitrator.

4.3.4. Confidentiality

All dispute-related communications, documents, and proceedings shall be treated as confidential by both parties.

5.0 Records

- (a) *FT-33 Complaints log*
- (b) *FT-13 Appeal Register*

6.0 References: Nil