

Complaints Handling

History of Revision

Revision	Date	Remark
1		Initial Preparation
2	2010.04.30	Due to Performance Assessment
3	2011.02.25	Due to System Review
4	2011.11.04	Due to re-accreditation(response to document review)
5	2012.03.22	Due to re-accreditation
6	2014.04.10	Due to Regular Surveillance and Revision of Accreditation Standard
7	2015.01.01	Due to revision of CDM Accreditation Standard(ver06.0)
8	2015.02.16	Due to the change of organization
9	2017.01.20	Due to the change of organization
10	2019.01.04	Due to the change of organization name
11	2020.01.23	Due to the change of organization name
12	2021.01.28	Due to the change of organization name
13	2021.09.13	Due to the change of position mark(in English)
14	2021.09.15	Corrective action for Regular surveillance
15	2021.10.18	Re Corrective action for Regular surveillance
16	2022.01.01	Due to the change of organization name
17	2024.02.14	Due to the change of organization name
18	2024.07.10	Reflecting para 196 of CDM Accreditation Standard

A. Scope

1. This procedure specifies methods of handling complaints, disputes and appeals raised by CDM project participants, the general public and other stakeholder in relation to CDM Activities services and other decisions.

B. Purpose

2. The purpose of this procedure is to ensure that all complaints, appeals and disputes are resolved quickly and effectively.

C. Relevant Procedures

3. Related procedures are as follow

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|-----|---------------------------------------|---------------|
| (1) | Document and Record Control Procedure | (KSA-GA-1100) |
| (2) | Committee Operation Procedure | (KSA-GA-1200) |
| (3) | Corrective Action Procedure | (KSA-GA-1500) |
| (4) | Confidentiality Protection Procedure | (KSA-GA-1800) |

D. Definition of Terms

4. Complaints : Formal (written) and/or informal (verbal) expressions of dissatisfaction regarding the performance of a DOE in relation to its CDM function(s), from any source, such as the CDM client's organization (CDM PP), the general public or its representatives, government bodies, NGOs, etc.

5. Disputes: Disagreement between a DOE and the project participant (PP) regarding the DOE's recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions.

6. Judicial process : Legal disputes between a KSA and any source, such as the KSA's clients, the general public or its representatives, government bodies, NGOs, etc

7. Appeals : A CDM client organizations (CDM PP) request for a review by an independent Customer Satisfaction Committee of various decisions taken by a DOE in respect of validation and/or verification/certification functions

E. Responsibility and Authority

8. Customer Satisfaction Committee

Final Review and decision on disputes/judicial processes and complaints

9. The Executive Director of Certification Division

- (1) Request for the initial investigation and corrective actions about complaints, disputes and appeals.
- (2) Review of the results of corrective and preventive actions.
- (3) Decision on complaints
- (4) Confirmation of the impact for pending or prosecuting judicial processes with KSA on DOE functions
- (5) Foundation and operation of Customer Satisfaction Committee
- (6) Assign and dismissal of Customer Satisfaction Committee

10. Director of Validation, Verification & Certification Management Center

- (1) Receipt of complaints, disputes/judicial processes and appeals
- (2) Confirmation of the validity of complaints, disputes and appeals
- (3) Analysis of what caused complaints, appeals and disputes
- (4) Implement Correction and corrective action against complaints, disputes and appeals
- (5) Evaluation/Handling of the impact for pending or prosecuting judicial processes with KSA on DOE functions

F. Principles in Handling complaints, disputes/judicial processes and appeals

11. The personnel in handling and decision on complaints, disputes/judicial processes and appeals shall be different and independent from the person involved in the relevant validation or verification.

12. Investigation and decision on complaints, disputes/judicial processes and appeals shall not result in any discriminatory action against the complainant/appellant and shall comply to UNFCCC requirements

13. All the records related to complaints, disputes/judicial processes and appeals shall be treated as confidentiality in accordance with Confidentiality Protection Procedure (KSA-GA-1800).

14. The Director Certificate Management center shall make publicly available the procedure related to complaints and appeals.

G. Acceptance of complaints, disputes/judicial processes and appeals

15. complaints, disputes/judicial processes and appeals could be raised in case that any clients are not equally accessible to the CDM service or that the clients have complaints about the process or result of CDM Activities. KSA guarantees the freedom of complaints, disputes and appeals officially.

16. All complaints, disputes/judicial processes and appeals could be raised in case that any clients are not equally accessible to the CDM service or that the clients have complaints about the process or result of CDM Activities. KSA guarantees the freedom of complaints, disputes and appeals officially.

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18. All complaints, disputes/judicial processes and appeals received to any staff or auditors shall be reported to the relevant Director. In case that the relevant Director is responsible for the complaints, the complaint shall be reported to and handled by the Director of Validation, Verification & Certification Management Center in accordance with this procedure.

19. The relevant Director shall record them, including the decision and actions undertaken in response to them, in the 'Complaints & Appeals Register'(KSA-QEF-210)' and handle them as specified in this procedure.

20. received to any staff or auditors shall be reported to the relevant Director. In case that the relevant Director is responsible for the complaints, the complaint shall be reported to and handled by the Director of Validation, Verification & Certification Management Center in accordance with this procedure.

21. The relevant Director shall record them, including the decision and actions undertaken in response to them, 'Complaints & Appeals Register'(KSA-QEF-210)' and handle them as specified in this procedure.

H. Complaint Handling Procedure**(a) Review of Complaints**

22. The relevant Director shall gather and verify all necessary information to investigate reported complaints in details, and, if necessary, their validity shall be reviewed in the following ways:

- (1) Summon the personnel related to the complaints and appeals, and the relevant external persons, and hear their statements.
- (2) Visit or summon the customer or other stakeholder who raised complaints, appeals or consultation and hear of their statements.

23. As a result of the above investigation, Validation, Verification & Certification Management Center shall identify the validity of the complaints and report them to the Executive Director of Certification Division.

(b) Decision on Complaints

24. Director of Validation, Verification & Certification Management Center shall identify proper actions to be taken in response to the complaints and report them to the Executive Director of Certification Division.

25. Executive Director of Certification Division shall make a decision on complaints based on the identified actions and the relevant Director shall take the determined actions to the complainants in an appropriate manner.

26. In case that the complainant is not satisfied with the actions taken or that another complaint is made by the customer or any interested parties against the results of actions taken, the complaints shall be reported to the Executive Director of Certification Division.

27. The Executive Director of Certification Division shall hold a Customer Satisfaction Committee concerning the complaints in accordance with Committee Operation Procedure (KSA-GA-1200) and the relevant Director shall prepare all necessary information to be submitted to the committee.

28. The Customer Satisfaction Committee shall review the complaints and determine the proper actions against them and request the relevant team to implement immediately proper actions and request the team to report back below matters.

- (1) The progress of the matter
- (2) The result of action
- (3) The need of corrective action and preventive action
- (4) If necessary, the plan of corrective action and preventive action

29. Executive Director of Certification Division shall establish measures for necessary corrective actions to find out the basic causes of complaints and to prevent their recurrence in accordance with Corrective and Preventive Action Procedure (KSA-GA-1500).

30. Handling complaints (complaints received, handling process of the complaints and results of handlings) shall be reported to the Chairman & CEO via Management Review and the Customer Satisfaction Committee.

(c) Notification of complaint handling

31. Director of Validation, Verification & Certification Management Center shall notify the results of the investigation and the subsequent actions to the relevant clients and stakeholders. This notification shall be made within 2 months from the day as a principle when the complaints from the customer or other interested parties were received. However, when it takes time due to the change or revision of the law or relevant regulation, the collection of material and statement of opinion from them, Director of Validation, Verification & Certification Management Center shall notify the reason of the delay in complaint handling with a progress report.

32. In spite of above articles, complaints received are uncertain, anonymous or impossible to collect related material, Director of Validation, Verification & Certification Management Center decides to forward or not after discussing the matters with the relevant Director and then get approval of the Executive Director of Certification Division.

33. Person who notified the result of actions would appeal within 7 days from the day notified.

I. Disputes Handling Procedure

(a) Review of Disputes

34. Director of Validation, Verification & Certification Management Center shall gather and verify all necessary information to investigate reported disputes in details, and, if necessary, their validity shall be reviewed in the following ways:

- (1) Summon the personnel related to the disputes, and the relevant external persons, and hear their statements.
- (2) Visit or summon the customer or other stakeholder who raised disputes or consultation and hear of their statements.

35. As a result of the above investigation, Validation, Verification & Certification Management Center shall identify the validity of the disputes and report them to Executive Director of Certification Division.

(b) Decision on Disputes

36. Executive Director of Certification Division shall hold a Customer Satisfaction Committee concerning the disputes in accordance with Committee Operation Procedure (KSA-

GA-1200) Director of Validation, Verification & Certification Management Center shall prepare all necessary information to be submitted to the committee.

37. The Customer Satisfaction Committee shall review the disputes and determine the proper actions against them and request the relevant team to implement immediately proper actions and request the team to report back below matters.

- (1) The progress of the matter
- (2) The result of action
- (3) The need of corrective action and preventive action
- (4) If necessary, the plan of corrective action and preventive action

38. In case that Customer Satisfaction Committee cannot make a decision, Customer Satisfaction Committee or Executive Director of Certification Division shall request the clarification from CDM EB. Thus, the two parties shall agree to commission the case to CDM EB and take their decisions.

39. Executive Director of Certification Division shall establish measures for necessary corrective actions to find out the basic causes of disputes and to prevent their recurrence in accordance with Corrective and Preventive Action Procedure (KSA-GA-1500).

40. Handling disputes (disputes received, handling process of the disputes and results of handlings) shall be reported to the Chairman & CEO via Management Review

(c) Notification of dispute handling

41. Director of Validation, Verification & Certification Management Center shall notify the results of the investigation and the subsequent decision and actions to the relevant clients and stakeholders. This notification shall be made within 2 months from the day as a principle when the disputes from the customer or other interested parties were received. However, when it takes time due to the change or revision of the law or relevant regulation, the collection of material and statement of opinion from them, Director of Validation, Verification & Certification Management Center shall notify the reason of the delay in disputes handling with a progress report.

42. In spite of above articles, received disputes are uncertain, anonymous or impossible to collect related material, Director of Validation, Verification & Certification Management Center decides to forward or not after discussing the matters with the relevant Director and then get approval of the Executive Director of Certification Division.

43. Person who notified the result of actions would appeal within 7 days from the day notified.

J. Judicial processes Handling Procedure

(a) Identification of Judicial processes

44. The Director of Validation, Verification & Certification Management Center shall investigate all Judicial processes to evaluate the impact for pending or prosecuting judicial processes with KSA on DOE functions and, Director of Validation, Verification & Certification Management Center shall identify pending or prosecuting judicial processes in the following ways:

- (1) Identify pending or prosecuting judicial processes on a quarterly basis.
- (2) Investigate detailed information, who, when, why of pending or prosecuting judicial processes from related to personnel
- (3) Maintain a record of all the judicial processes pending against it as well as information of any judicial cases held in the past.

45. As a result of the above investigation, The Director of Validation, Verification & Certification Management Center shall report them to Executive Director of Certification Division.

(b) Evaluation on Judicial processes

46. As a result of the above investigation, The Director of Validation, Verification & Certification Management Center should use Assessment on the impact of Judicial process on KSA Sheet(QEF 135) to evaluate the impact for pending or prosecuting Judicial processes with KSA on DOE functions. The impact assessment should consider the following:

- (1) The relationship between Interested party and the KSA
- (2) The relations between Interested party and the CDM business
- (3) Whether liability insurance & guarantee in cash for judicial process costs is guaranteed

47. The Executive Director of Certification Division shall review/confirm the judicial processes and determine the proper actions against them and request the relevant team to implement immediately proper actions and request the team to report back below matters.

- (1) The progress of the matter
- (2) Appropriateness for impact assessment of pending or prosecuting judicial process with KSA on DOE functions

- (3) If necessary, request for re-evaluation of the impact for pending or prosecuting Judicial process with KSA on DOE functions
- (4) Approval for impact assessment of pending or prosecuting Judicial process with KSA on DOE functions

(c) Notification of Judicial processes handling

48. Handling Judicial processes (Judicial processes received, impact assessment of Judicial processes and results of handlings) shall be reported to the Chairman & CEO via Management Review
49. As a result of the evaluation for impact on Judicial processes, if the subject matter of a judicial process pending or instituted against the DOE is such that it is incompatible with its functions as a DOE, Director of Validation, Verification & Certification Management Center shall promptly report the matter to the UNFCCC secretariat.

K. Appeals Handling Procedure

(a) Review of Appeals

50. Director of Validation, Verification & Certification Management Center shall review the reported appeals in details, and, if necessary, their validity shall be reviewed in the following ways:
 - (1) Summon the personnel related to the appeals, and the relevant external persons, and hear their statements.
 - (2) Visit or summon the customer or other stakeholder who raised appeals and hear of their statements.
51. As a result of the above investigation, Validation, Verification & Certification Management Center shall identify the validity of the appeals and report them to the Executive Director of Certification Division and the Chairman & CEO.

(b) Decision on Appeals

52. The Chairman & CEO shall request the Certification Direct to hold an independent Customer Satisfaction Committee concerning the appeals.
53. The Customer Satisfaction Committee shall comprise 3 to 5 members, including one chairman & CEO

54. Executive Director of Certification Division shall appoint the members of the Customer Satisfaction Committee and its members shall be selected according to the criteria described below to provide for impartial decision-making. Director of Validation, Verification & Certification Management Center or QC designee shall be appointed as a secretary.

55. Director of Validation, Verification & Certification Management Center shall prepare all relevant information and document necessary to take into consideration and make a decision on the appeals in the panel.

56. The Customer Satisfaction Committee shall review the appeals and determine the proper actions against them and request the relevant team to implement immediately proper actions and request the team to report back below matters.

- (1) The progress of the matter
- (2) The result of action
- (3) The need of corrective action and preventive action
- (4) If necessary, the plan of corrective action and preventive action

57. In case that the Customer Satisfaction Committee cannot make a decision or the decisions made by the panel are not accepted by the clients, Executive Director of Certification Division shall request the clarification from CDM EB. Thus, the two parties shall agree to commission the case to the third agency and take their decisions.

58. Executive Director of Certification Division shall establish measures for necessary corrective actions to find out the basic causes of appeals and to prevent their recurrence in accordance with Corrective and Preventive Action Procedure (KSA-GA-1500).

59. Handling appeals (appeals received, handling process of the appeals and results of handlings) shall be reported to the Chairman & CEO via Management Review.

60. Executive Director of Certification Division shall inform the appellant of the independent Customer Satisfaction Committee's decision. In cases where the appellant is not satisfied with the decision, Executive Director of Certification Division shall inform the appellant that it has the option of making a complaint to the Board by official documents.

(c) Notification of appeal handling

61. Director of Validation, Verification & Certification Management Center shall notify the results of the investigation and the subsequent decision and actions to the relevant clients and stakeholders. This notification shall be made within 2 months from the day as a principle when the appeals from the customer or other interested parties were received. However, when it takes time due to the change or revision of the law or relevant regulation, the collection of material and statement of opinion from them, Director of Validation, Verification &

Certification Management Center shall notify the reason of the delay in appeal handling with a progress report.

62. In spite of above articles, received appeal are uncertain, anonymous or impossible to collect related material, Director of Validation, Verification & Certification Management Center decides to forward or not after discussing the matters with the relevant Director and then get approval of the Executive Director of Certification Division.

63. Person who notified the result of actions would appeal within 7 days from the day notified.

64. KSA shall inform the appellant of the independent appeal panel's decision. In cases where the appellant is not satisfied with the decision, the KSA shall inform the appellant that it has the option of making a complaint to the Board.

L. Post Management

65. Director of Validation, Verification & Certification Management Center shall record and storage the complaints, appeals and disputes accepted and managed in accordance with the Document and Record Control Procedure (KSA-GA-1100).

66. Director of Validation, Verification & Certification Management Center shall analyze all the result of the complaints, appeals and disputes accepted and review the effectiveness of corrective actions and preventive actions. Thus, the establishment of preventive action in order not to happen again is needed to consider and it is need to be reviewed in Customer Satisfaction Committee.

M. Record Management

67. Director of Validation, Verification & Certification Management Center shall maintain all records with regard to complaints, disputes and appeals. The record shall include the following:

- (1) Complaints, disputes and/or appeals
- (2) Records reviewing the validity of complaints, disputes and/or appeals
- (3) Records analyzing the root cause of complaints, disputes and/or appeals
- (4) The records related to the process and the result of decision on complaints, disputes and/or appeals
- (5) Actions taken against complaints, disputes and/or appeals and their notification to the complainants
- (6) Corrective and preventive action against the root cause of complaints, disputes and/or appeals

N. Related Forms

68. Related forms are as follow
- (1) Complaints, Appeals and Disputes Register (KSA-QEF-210)
 - (2) Assessment on the impact of Judicial process on KSA Sheet (KSA-QEF-135)