


# Complaint, Dispute and Appeal Processes

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	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 3/16

## 1. Scope

This procedure specifies processes of handling complaints, disputes and appeals raised by A6.4 project participants, the general public and other stakeholder in relation to A6.4 activities services and other decisions.

## 2. Purpose

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


## 3. Responsibility and Authority

### 3.1 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 Complaint, Dispute, and Appeal Mediation Committee
- (6) Assign and dismissal of Complaint, Dispute, and Appeal Mediation Committee

### 3.2 Director of Validation, Verification & Certification Management Center (hereinafter referred to as VVC 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

	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 4/16

#### 4. Complaint, Dispute, and Appeal Mediation Committee

- (1) A provisional Complaint, Dispute, and Appeal Mediation Committee may be constituted in order to resolve such important issues as a customer's complaints, disputes and appeals.
- (2) The Complaint, Dispute, and Appeal Mediation Committee shall comprise three to five members who do not have interests in the issues concerned and include at least an expert who have the relevant expertise in the issue.
- (3) The director of VVS Management Center shall appoint members of the Complaint, Dispute, and Appeal Mediation Committee taking into consideration the characteristic and scope of the issue.
- (4) Members of Complaint, Dispute, and Appeal Mediation Committee shall sign a written assurance of impartial service right before the Committee meeting.
- (5) The Complaint, Dispute, and Appeal Mediation Committee shall perform the following duties:
  - a. Handling of technical data
  - b. Dealing with disputes/ judicial processes and complaints
- (6) The person who raised the complaints or the disputes can attend the committee meetings and give an explanation about the issues raised in the meeting. The person shall not be counted as a member of the committee in a decision-making.

#### 5. General

##### 5.1 Principles in Handling complaints, disputes/judicial processes and appeals

- 5.1.1 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.
- 5.1.2 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
- 5.1.3 All the records related to complaints, disputes/judicial processes and appeals shall be treated as confidentiality in accordance with the Information Management Procedure (AP005).

<b>KSA</b>	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 5/16


## **5.2 Acceptance of complaints, disputes/judicial processes and appeals**

- 5.2.1 Complaints, disputes/judicial processes and appeals could be raised in case that any clients are not equally accessible to the A6.4 service or that the clients have complaints about the process or result of A6.4 Activities. KSA guarantees the freedom of complaints, disputes and appeals officially.
- 5.2.2 All complaints, disputes/judicial processes and appeals received to any staff or validator/verifier 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 VVC Management Center in accordance with this procedure.
- 5.2.3 The relevant Director shall record them, including the decision and actions undertaken in response to them, in the Complaints & Appeals Register (AF314) and handle them as specified in this procedure.

## **6. Complaint Handling Procedure**

### **6.1 Review of complaints**

- 6.1.1 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.
- 6.1.2 As a result of the above investigation, VVC Management Center shall identify the validity of the complaints and report them to the Executive Director of Certification Division.
- 6.1.3 The criteria for determining the validity of complaint are as follows;
- (1) Specificity of the Complaint
  - (2) Appropriateness of the Timing
    - a. Clarity of Responsibility


	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 6/16

- b. Fact-Based Validity
- c. Relevance to the Contract Scope

6.1.4 Detailed explanations of each criterion are provided in Appendix 1.

## 6.2 Decision on complaints

- 6.2.1 Director of VVC Management Center shall identify proper actions to be taken in response to the complaints and report them to the Executive Director of Certification Division.
- 6.2.2 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.
- 6.2.3 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.
- 6.2.4 The Executive Director of Certification Division shall hold a Complaint, Dispute, and Appeal Mediation Committee concerning the complaints and the relevant director shall prepare all necessary information to be submitted to the committee.
- 6.2.5 The Complaint, Dispute, and Appeal Mediation 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
- 6.2.6 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 Actions’ in the Quality Management System Procedure (AP007).
- 6.2.7 Handling complaints (complaints received, handling process of the complaints and

	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 7/16

results of handling) shall be reported to the Chairman & CEO via Management Review.


### 6.3 Notification of complaint handling

- 6.3.1 Director of VVC 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 VVC Management Center shall notify the reason of the delay in complaint handling with a progress report.
- 6.3.2 In spite of above articles, complaints received are uncertain, anonymous or impossible to collect related material, Director of VVC Management Center decides to forward or not discuss the matter any further with the relevant Director and then get approval of the Executive Director of Certification Division.
- 6.3.3 Person who notified the result of actions would appeal within 7 days from the day notified.

## 7. Disputes Handling Procedure

### 7.1 Review of disputes

- 7.1.1 Director of VVC 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.
- 7.1.2 As a result of the above investigation, VVC Management Center shall identify the validity of the disputes and report them to Executive Director of Certification Division. The criteria for determining the validity of dispute are as follows;
- (1) Specificity of the Issue Raised

	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 8/16

- (2) Appropriateness of the Timing
- (3) Fact-Based Validity
- (4) Clarity of Responsibility
- (5) Inclusion Within the Contract Scope

7.1.3 Detailed explanations of each criterion are provided in Appendix 2.

## 7.2 Decision on disputes

7.2.1 Executive Director of Certification Division shall hold a Complaint, Dispute, and Appeal Mediation Committee concerning the disputes and the director of VVC Management Center shall prepare all necessary information to be submitted to the committee.

7.2.2 The Complaint, Dispute, and Appeal Mediation 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


7.2.3 In case that Complaint, Dispute, and Appeal Mediation Committee cannot make a decision, Complaint, Dispute, and Appeal Mediation Committee or Executive Director of Certification Division shall request the clarification from the A6.4 Supervisory Body. Thus, the two parties shall agree to commission the case to the A6.4 Supervisory Body and take their decisions.

7.2.4 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 Actions' in the Quality Management System Procedure (AP007).

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

7.2.6 KSA shall make the dispute-handling procedure available to its clients upon request or



	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 9/16

if a dispute occurs.


### 7.3 Notification of dispute handling

- 7.3.1 Director of VVC 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 VVC Management Center shall notify the reason of the delay in disputes handling with a progress report.
- 7.3.2 In spite of above articles, received disputes are uncertain, anonymous or impossible to collect related material, director of VVC 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.
- 7.3.3 Person who notified the result of actions would appeal within 7 days from the day notified.

## 8. Judicial Processes Handling Procedure

### 8.1 Identification of judicial processes

- 8.1.1 Management Planning Team of the KSA is responsible for judicial processes.
- 8.1.2 Management Planning Team oversees the judicial processes, with the VVC Management Center and E&E Center providing practical support.
- 8.1.3 The director of VVC Management Center shall investigate all judicial processes to evaluate the impact for pending or prosecuting judicial processes with KSA on DOE functions and the director of VVC Management Center shall identify pending or prosecuting judicial processes from Management Planning Team 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;

	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 10/16

- (3) Maintain a record of all the judicial processes pending against it as well as information of any judicial cases held in the past.

## 8.2 Evaluation on judicial processes

8.2.1 As a result of the above investigation, The director of VVC Management Center should use Assessment on the impact of Judicial process on KSA (AF305) 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 A6.4 business;
- (3) Whether liability insurance & guarantee in cash for judicial process costs is guaranteed.


8.2.2 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

## 8.3 Notification of judicial processes handling

8.3.1 Handling Judicial processes (Judicial processes received, impact assessment of Judicial processes and results of handling) shall be reported to the Chairman & CEO via Management Review

8.3.2 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 VVC Management Center shall promptly report the matter to the UNFCCC secretariat within 14 days.

	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 11/16

## 9. Appeals Handling Procedure

### 9.1 Review of appeals

9.1.1 Director of VVC 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.

9.1.2 As a result of the above investigation, VVC Management Center shall identify the validity of the appeals and report them to the Executive Director of Certification Division and the Chairman & CEO

### 9.2 Decision on appeals


9.2.1 The Executive director of Certification Division shall request the director of VVC Management Center to hold an independent the Complaint, Dispute, and Appeal Mediation Committee concerning the appeals.

9.2.2 The Complaint, Dispute, and Appeal Mediation Committee shall comprise 3 to 5 members, including one chairperson.

9.2.3 Executive Director of Certification Division shall appoint the members of the Complaint, Dispute, and Appeal Mediation Committee and its members shall be selected according to the criteria described below to provide for impartial decision-making. The director of VVC Management Center shall be appointed as a secretary.

9.2.4 The director of VVC Management Center shall prepare all relevant information and document necessary to take into consideration and make a decision on the appeals in the panel.

9.2.5 The Complaint, Dispute, and Appeal Mediation 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.

	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 12/16

- (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

9.2.6 The director of VVC Management Center 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 Supervisory Body.

9.2.7 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 Actions' in the Quality Management System Procedure (AP007).


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

9.2.9 The Executive Director of Certification Division shall inform the appellant of the independent Complaint, Dispute, and Appeal Mediation 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.

### 9.3 Notification of appeal handling

9.3.1 The director of VVC 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 VVC Management Center shall notify the reason of the delay in appeal handling with a progress report.

9.3.2 In spite of above articles, received appeal are uncertain, anonymous or impossible to collect related material, director of VVC Management Center decides to forward or

	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 13/16

not after discussing the matters with the relevant Director and then get approval of the Executive Director of Certification Division.

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

## 10. Post Management

- (1) The director of VVC Management Center shall record and storage the complaints, disputes and appeals accepted and managed in accordance with the Document and Record Management System Procedure (AP006).
- (2) The director of VVC Management Center shall analyze all the result of the complaints, disputes and appeals accepted and review the effectiveness of corrective actions and preventive actions.


## 11. Record Management

The director of VVC 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

## 12. Related Forms

- (1) Assessment on the Impact of Judicial Process on KSA (AF305)
- (2) Complaint & Appeal Register (AF314)

	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 14/16

## Appendix 1 – Criteria for determining the validity of complaints

### 1. Specificity of the Complaint

- 1.1. A complaint shall be deemed valid only if it is specific and clearly describes the issue.
- 1.2. The complaint shall be identified;
  - 1.2.1 The nature of the issue (e.g., delay, non-compliance, or insufficient performance)
  - 1.2.2 The relevant parties or entities involved
  - 1.2.3 The specific circumstances or events that led to the complaint
- 1.3. Vague or generalized complaints shall not be accepted for review.

### 2. Appropriateness of the Timing

Complaints shall be submitted promptly after the issue arises.

#### 1.1 Clarity of Responsibility

- 2.1.1. Complaints shall specify the party or parties responsible for the issue.
- 2.1.2. If responsibility cannot be clearly assigned, additional clarification may be required from the complainant.


#### 1.2 Fact-Based Validity

Complaints shall be based on verifiable facts, supported by:

- 1.2.1 Documentary evidence (e.g., contracts, reports, or communications)
- 1.2.2 Objective data that corroborates the claim

#### 1.3 Relevance to the Contract Scope

- 1.3.1 The complaint shall directly relate to the scope and terms outlined in the relevant agreement or contract.
- 1.3.2 Issues falling outside the contractual obligations of the parties shall not be considered valid complaints under this regulation.

	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 15/16

## Appendix 2 – Criteria for determining the validity of disputes

### 1. Specificity of the Issue Raised

- (1) A dispute shall be considered valid only if the issue raised is specific and clearly defined.
- (2) The issue must include;
  - a. A precise description of the nature of the dispute (e.g., breach of contract, non-compliance, or service failure)
  - b. Detailed circumstances or facts that form the basis of the dispute
- (3) Disputes based on vague, generalized, or ambiguous claims shall not be accepted for review.

### 2. Appropriateness of the Timing

- (1) A dispute shall be raised promptly after the issue arises.
- (2) The timeliness of a dispute may be assessed based on;
  - a. Whether the delay in raising the dispute affects the ability to verify facts
  - b. The potential impact of the timing on dispute resolution processes
- (3) Disputes raised after a significant delay may be deemed invalid unless justified by exceptional circumstances.

### 3. Fact-Based Validity

- (1) Disputes shall be substantiated with objective, verifiable evidence.
- (2) Acceptable evidence includes;
  - a. Documentary records such as contracts, communications, or official reports.
  - b. Data or analysis directly supporting the claim.
- (3) Disputes relying on assumptions, conjectures, or subjective opinions shall not be considered valid.

<b>KSA</b>	<b>Procedure</b>	Document No : KSA-AP008
	<b>Complaint, Dispute and Appeal Processes</b>	Revision No : 02 Page : 16/16

#### **4. Clarity of Responsibility**

- (1) The dispute shall clearly identify the party or parties responsible for the issue.
- (2) If responsibility is not explicitly defined, the complainant may be required to provide additional information to clarify accountability.
- (3) Disputes where responsibility may not be reasonably assigned may be deemed invalid.

#### **5. Inclusion Within the Contract Scope**

- (1) The dispute shall directly pertain to the scope, terms, and obligations outlined in the contract.
- (2) Issues falling outside the agreed contractual framework shall not be considered valid disputes.
- (3) Any ambiguity regarding the contract scope shall be resolved based on the agreed terms and applicable laws.