

<p style="text-align: center;">Beijing United Intelligence Certification Co., Ltd. Procedure Document</p>	<p style="text-align: center;">No.:UI-CDM-P-17</p>
	<p style="text-align: center;">Version/Revision:A/3</p>
<p style="text-align: center;">Complaint, Dispute and Appeal Control Procedure</p>	

1. Aim

This procedure is formulated to ensure that appeals, complaints and disputes of relevant parties are handled in a timely, effective and fair manner.

2. Scope

It is applicable for receiving, investigating and reporting appeals, complaints and disputes from customers and other related parties to the company.

3. Normative reference

The following references are essential for the application of this document. References with dates apply only to the version referenced. For undated references, the latest version of the referenced document (including all amendments) applies.

(1) *CDM accreditation standard (CDM-EB46-A02-STAN, Version 07.0)*

(2) *CDM accreditation procedure (CDM-EB05-A02-PROC, Version 16.0)*

(3) *CDM validation and verification standard (CDM-EB65-A04-STAN, Version 09.0)*

(4) *Performance monitoring procedure of designated operational entities (CDM-EB58-A01-PROC, Version 05.0)*

4. Terms & Definitions

4.1 Complaints

Complaint - formal expression of dissatisfaction, made verbally, electronically or in writing, regarding the performance of a DOE or its outsourced entities in relation to its validation or verification/certification functions, from any source, such as clients, project participants, the general public or its representatives, government bodies, non-governmental organization, etc.;

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4.2 Disputes

Dispute - disagreement between a DOE and its client regarding the DOE's recommendation and/or opinions/decisions made at various stages in the course of its validation and/or verification/certification activities;

4.3 Appeals

Appeal - a request made by a client for a formal review of a decision taken by a DOE in respect of its validation and/or verification/certification activities.

5. Responsibilities

5.1 General Manager

Be responsible for the approval of handling plan for appeals, complaints.

5.2 CDM Quality Manager CDM

Be responsible for the review of handling plan for appeals, complaints.

5.3 Quality Technical Dept.

(1) Responsible for centralized management of appeals, complaints & dispute handling;

(2) Responsible for proposing resolutions for appeal, complaint & dispute;

(3) Responsible for dealing with the disputes in the process of implementation;

(4) Responsible to inform the team leader about any appeals, complaints & disputes.

5.4 Business Dept.

(1) Responsible for handling customer appeals, complaints & disputes;

(2) Responsible for contact with client & understand related information of appeals, complaints & disputes;

(3) Responsible for communication with client and settlement of appeals,

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complaints and disputes.

5.5 Assessment Dept.

Responsible to propose suggestions over resolutions for appeals, complaints & disputes.

5.6 Each Relevant Dept.

Responsible for passing on related information of appeals, complaints & disputes to Quality Technical Dept.

6. Working Procedure

6.1 Handling of Complaints

6.1.1 Acceptance of Complaints

(1) When the company receives complaints from client enterprise, it should record the problems and contact information of the complainant in detail and feedback the information to the Quality Technical Department in time;

(2) Upon receiving the complaint information or report from all parties, the Quality Technical Department shall immediately accept and confirm whether the complaint is related to the validation/verification activities that the company is responsible for, and establish archives and make contact with the complainant to inform the acceptance of complaint and timely report to the company leader in charge.

6.1.2 Investigation of complaint

Once the Quality Technical Department confirms the compliant relevant to the company's validation, verification/certification activity, following necessary information collection, verification & investigation shall be done to ensure the effectiveness of the compliant:

(1) Investigate the basic information of the company: scope, type, timing, team

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member or technical review team of the validation, verification/certification;

(2) Review file by reviewer at Assessment Dept;

(3) The Quality Technical Dept. shall contact the team leader to understand related status of client process;

(4) The Business Dept. shall contact the client to understand the relevant situation.

6.1.3 Handling of complaints

The Quality Technical Department shall summarize the investigation results of all parties for analysis, and communicate with the complaint party to reach a consensus and solve the problem.

6.1.4 Maintain the confidentiality of the complainant and the subject matter of the complaint

Safeguarding the confidentiality of the complainant and subject of the complaint. This process should be subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.

6.2 Handling of Disputes

6.2.1 Acceptance of disputes

(1) When the company receives disputes from client enterprise, it should record the problems and contact information of the disputes in detail and feedback the information to the Quality Technical Department in time.

6.2.2 Determination of disputes

The company should establish criteria for judging the validity of disputes.

6.2.3 Handling of disputes

(1) The Quality Technical Department tracks and records disputes, including

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actions undertaken in response to them;

(2) Ensuring that appropriate corrections and corrective actions are taken;

(3) Informing the disputant of the outcome of the investigation and the disputes handling process;

(4) Maintenance of record of disputes.

6.2.4 Confidentiality requirement

(1) Safeguarding the confidentiality of the disputes and subject of the disputes.

This process should be subject to requirements for confidentiality, as it relates to the disputes and to the subject of the disputes;

(2) Ensuring that the persons engaged in the dispute handling process are different from those who carried out the validation or verification/certification activities.

6.3 Handling of Appeals

6.3.1 Acceptance of Appeals

(1) When the company receives an appeal from client enterprise, it should record the problems and contact information of the appellants in detail;

(2) Upon receiving the appeal information, the company shall immediately accept and establish archives, and timely report to the company leader in charge;

(3) The company will establish an independent appeal panel responsible for the appeal process;

(4) The company ensures that the persons engaged in the appeal process differ from those who conducted the validation or verification/certification, including the technical review and final decision-making;

(5) The company ensures that the submission, investigation and decision on

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appeals do not result in any discriminatory actions against the appellant.

6.3.2 Investigation of appeal

6.3.2.1 Once the independent appeal panel confirms the appeal relevant to the company's validation, verification/certification activity, following necessary information collection, verification & investigation shall be done to ensure the effectiveness of the appeal:

(1) Investigate the basic information of the company: scope, type, timing, team member or technical review team of the validation, verification/certification;

(2) Review file by independent appeal panel;

(3) The independent appeal panel shall contact the team leader to understand related status of client process;

(4) The independent appeal panel shall contact the client to understand the relevant situation;

(5) The independent appeal panel identifies and investigates the procedural elements of the appeal to ensure that the decision takes into account all available relevant information and is gathered as part of the investigation;

(6)The independent appeal panel will track and record appeals, including actions undertaken to resolve them;

(7) The independent appeal panel ensure that if the investigation points towards a non-conformity, appropriate corrections and corrective actions are taken to eliminate the gaps in the system;

(8) The independent appeal panel safeguard the confidentiality of appellants and the subjects of the appeal. This process shall be subject to requirements for confidentiality.

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6.3.2.2 For major appeals, it shall be reported to the director of the Impartiality Committee and assign personnel to involve in the investigation and handling.

6.3.3 Handling of appeals

6.3.3.1 The independent appeal panel will provide progress reports on the appeal investigation and handling to the appellant and providing information/notice on the final decision;

6.3.3.2 The final decision will be made by the independent appeal panel.

6.3.3.3 The independent appeal panel shall timely feedback the handling result to appellants with effective communication done to reach consensus;

6.3.4 After the Company receives an appeal from the appellant, the Company shall accept the client's appeal and deal with it in a timely manner. the Company inform the appellant of the independent appeal panel ' s decision. In cases where the appellant is not satisfied with the decision, the company informs the appellant that it has the option of making a complaint to the Board.

6.4 Continuous Improvement

For each complaint, dispute and appeal, if the responsibility belongs to the functional department after investigation, analysis & confirmation, the responsible department shall analyze the cause and formulate corrective actions, and implement correction and prevention; In case serious violations are found during the process of problem solving, the validation, verification/verification team or members of the technical review team should also be notified to the Employee Development Department for further processing according to relevant documents.

7. Record Form

Complaint/Dispute/Appeal Investigation & Handling Record-UI-CDM-F-209

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Document Revision Information

Version	Revision date	Description of Revised contents
A/3	2023/03/23	Add Record Form Number
A/2	2023/1/16	Section “ 4.Terms and definitions ” and Section “ 6 Working procedures ” has been modified 1、 Section “ 4.Terms and definitions ” and Section “ 6 Working procedures ” has been modified;
A/1	2022/12/30	2 、 Formed F209 《 Complaint/Dispute/Appeal Investigation and Handling Record Form 》 has been modified
A/0	2022/06/01	