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### 1. Objectives


- To receive, evaluate, manage, take necessary corrective action and make decisions on complaints.
- To receive, evaluate the validity of, investigate and make decisions on actions to be undertaken in response to disputes.
- To receive, evaluate the validity of, acknowledge, investigate and make decisions on actions to be undertaken to resolve appeals.

### 2. Scope

This procedure applies to all appeals, complaints and disputes related GHG validation and verification services, and other services. The non-discrimination is the fundamental principle of appeal, complaint and dispute processes.

### 3. Related Documents

- ISO 14064-1: Specification with guidance at the organizational level for quantification and reporting of greenhouse gas emissions and removals
- ISO 14064-2: Specification with guidance at the project level for quantification, monitoring and reporting of greenhouse gas emission reductions or removal enhancements
- ISO 14064-3: Specification with guidance for the validation and verification of greenhouse gas assertions
- ISO 14065: **General principles and requirements for bodies validating and verifying environmental information**
- ISO 14066: Greenhouse gases — Competence requirements for greenhouse gas validation teams and verification teams
- **ISO/IEC 17029 Conformity assessment – General principles and requirements for validation and verification bodies**
- IAF MD 6: IAF Mandatory Document for the Application of ISO 14065
- International Standards and Recommended Practices (SARPs), Environmental Protection — Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA) (Annex 16, Volume IV to the Convention on International Civil Aviation)
- Environmental Technical Manual (ETM) (Doc 9501), Volume IV – Procedures for demonstrating compliance with the Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)
- Thailand greenhouse gas management organization (public organization), Carbon Footprint for Organization: CFO
- Thailand greenhouse gas management organization (public organization), Thailand Voluntary Emission Reduction Program: T-VER
- P-804: Corrective and Preventive Action Procedure
- P-805: Management Review Procedure
- P-807: Safeguarding Impartiality Procedure

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#### 4. Definitions

The terms and definitions used in this manual and relevant document are pursuant to the terms and definitions in ISO 14064–1, ISO 14064–2, ISO 14064–3, ISO 14065, ISO 14066, **ISO/IEC 17029**, IAF MD 6, CORSIA, CFO and T-VER :

<b>CFO</b>	Carbon Footprint for Organization
<b>CORSIA</b>	Carbon Offsetting and Reduction Scheme for International Aviation
<b>FP</b>	Form
<b>GHG</b>	Greenhouse gases
<b>MASCI</b>	Management System Certification Institute (Thailand)
<b>P</b>	Procedure Manual
<b>T-VER</b>	Thailand Voluntary Emission Reduction Program
<b>VVB</b>	Validation and Verification Body
<b>VVD</b>	<b>Validation and Verification Department</b>
<b>VVS1</b>	<b>Validation and Verification Section 1</b>

**Appeal Panel:** A group of people appointed by the President of MASCI to consider appeals and recommend further action.

**Appeal:** Request by the client or responsible party to the validation or verification body for reconsideration of a decision it has made relating to the validation or verification.

**Complaint:** Expression of dissatisfaction, other than appeal, by any person or organization to a validation or verification body or accreditation body, relating to the activities of that body, where a response is expected.

**Client:** Organization or person requesting validation or verification


**Greenhouse gas:** Gaseous constituent of the atmosphere, both natural and anthropogenic, that absorbs and emits radiation at specific wavelengths within the spectrum of infrared radiation emitted by the Earth's surface, the atmosphere, and clouds

#### 5. Functional Chart

##### Procedure details


5.1. Appeals Handling

5.2. Complaints Handling

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## 5.1 Appeals Handling

Responsible persons	Functions	Document/Record
5.1.1 President of MASCI/Executive Vice President/ Quality Manager/ Assistant Quality Manager/ Other staff	Receiving the appeal	<ul style="list-style-type: none"> <li>• Appeals Register Form (FP-806-03)</li> <li>• Statement for safeguarding confidentiality</li> </ul>
5.1.2 President of MASCI	Appointing the Appeal Panel	<ul style="list-style-type: none"> <li>• Safeguarding Impartiality Procedure (P-807)</li> <li>• Statement for safeguarding confidentiality</li> </ul>
5.1.3 Secretary of the Appeal Panel	Scheduling the Appeal Panel Hearing	<ul style="list-style-type: none"> <li>• Statement for safeguarding confidentiality</li> </ul>
5.1.4 The Appeal Panel/ Other relevant functions	Appeal consideration	<ul style="list-style-type: none"> <li>• Appeal Panel Meeting report</li> <li>• Statement for safeguarding confidentiality</li> </ul>
5.1.5 President of MASCI/ Executive Vice President/ Quality Manager/ Assistant Quality Manager	Notification of the result to the appellant	<ul style="list-style-type: none"> <li>• Statement for safeguarding confidentiality</li> </ul>
5.1.6 Quality Manager/ Assistant Quality Manager / <b>VVS1</b> officer	Prepare a summary report	<ul style="list-style-type: none"> <li>• Appeals handling summary report</li> <li>• Corrective and Preventive Action Procedure (P-804)</li> <li>• Statement for safeguarding confidentiality</li> </ul>

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#### 5.1.1 Receiving the appeal

Upon receipt of a written appeal, the President of MASCI shall task the Executive Vice President, Quality Manager/Assistant Quality Manager or another designated individual to gather and verify all necessary information for evaluation the validity of the appeal. Then, a written appeal shall be given to the **VVS1** Section for officially register. The Appellant shall be notified of the receipt of the appeal and that it is being evaluated. The notification shall be sent to the appellant within 7 working days of the date of its receipt.

#### 5.1.2 Appointing the Appeal Panel

- After gathering and verifying all necessary information for evaluation the validity of the appeal, the President of MASCI shall appoint 3 people to be members of an Appeal Panel. One of the 3 members of the Appeal Panel shall be appointed as the chairperson. The members of the Appeal Panel shall be independent and have no conflict of interest with the appeal in any way according to Safeguarding Impartiality Procedure (P-807).
- Quality Manager/Assistant Quality Manager shall assume the non-voting role of the secretary of the Appeal Panel.
- The secretary of the Appeal Panel shall notify the appointment of the Appeal Panel to the appellant for concurrence, and inform other concerned parties.

#### 5.1.3 Scheduling the Appeal Panel Hearing

The secretary of the Appeal Panel shall schedule the Appeal Panel Hearing within 20 working days of the date of an appeal receipt. The appellant shall be notified of the date, time and place of the hearing at least 5 working days before the hearing.


#### 5.1.4 Appeal consideration

##### 5.1.4.1 Considering the appeal

- 1) The Appeal Panel has the right to hear the explanations from the witness and/or consult with external technical experts and/or take any measure and/or any actions, including arranging meetings as necessary to make right decision.
- 2) MASCI's personnel and external technical experts who are related to the appeal shall provide all requested information to the Appeal Panel and shall not withhold or conceal any parts of that information.
- 3) The members of the Appeal Panel shall hold in confidentiality all information generated during the appeal process related to the appellant's business/organization.

##### 5.1.4.2 Judging the appeal

- 1) The Appeal Panel shall judge the appeal with fairness by using a majority rule voting process. The appeal process shall be completed within 45 working days of the date of an appeal receipt.
- 2) Every Appeal Panel member shall sign the appeal decision.

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3) The secretary of the Appeal Panel shall notify the decision with explanation to the President within 5 working days from the date of decision.

5.1.5 Notification of the result to the appellant

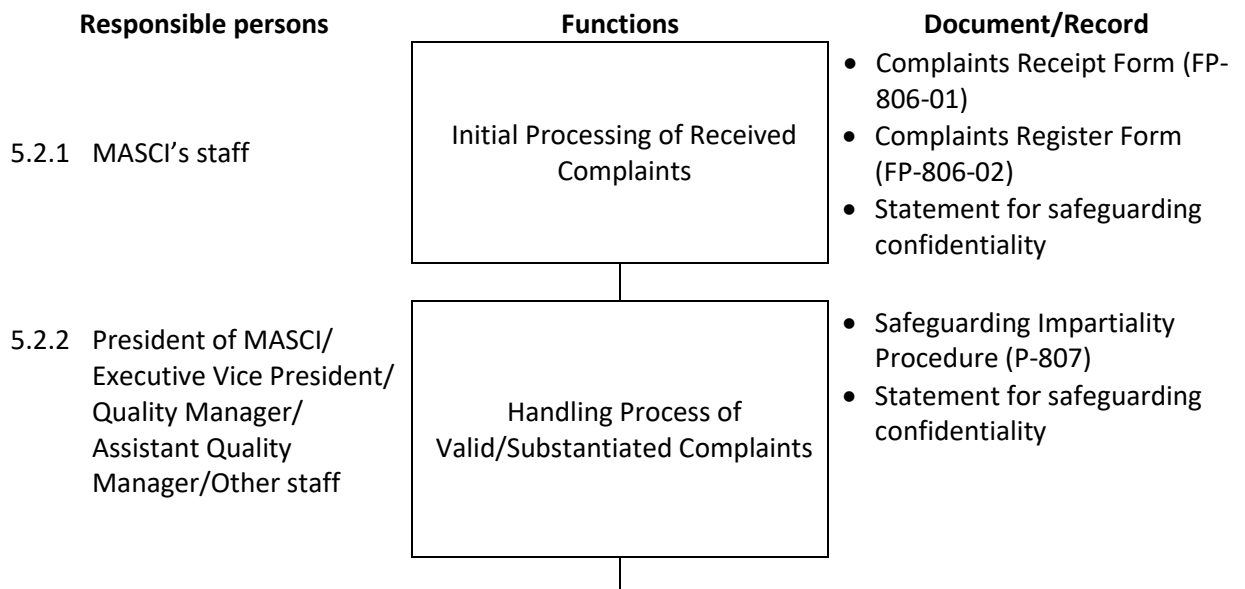
- The appellant shall be notified of decision with explanation by the President of MASCI or Executive Vice President or Quality Manager/Assistant Quality Manager within 10 working days from the date of decision
- In case the appellant is not satisfied with the decision of the appeal panel, MASCI shall inform the appellant that it has an option of complaining to the Appeal Panel.


5.1.6 Prepare a summary report

- The secretary of the Appeal Panel shall prepare a summary report and inform all concerned parties of any actions that need to be taken as a result of the decision.
- If the investigation points towards a non-conformance, Quality Manager/ Assistant Quality Manager and **VVS1** Officer shall take corrective action according to Corrective and Preventive Action Procedure (P-804), and prepare an appeals handling summary report for management review according to Management Review Procedure (P-805).

The cost for conducting an appeals procedure shall be covered by the appellant. The secretary of the Appeal Panel will inform General Administration Department (GAD) for an appeals fee billing except in case the appealing applicant is given right.

**5.2 Complaints Handling**



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5.2.3 Quality Manager/  
Assistant Quality  
Manager/**VVS1** officer

Making a summary report

- Complaints handling summary report
- Statement for safeguarding confidentiality

### 5.2.1 Initial processing of Receiving Complaints

Criteria for determining the validity of complaints

- The complaints must relate to issues under MASCI authority in its GHG business, including but not limited to GHG validation and verification judgments, financial mismanagement, non-professional behavior, unethical behavior, discrimination, violation of conflict of interests, violation of confidentiality.
- Where appropriate complaints should be accompanied by documentation of evidence and supporting materials within 30 days from its events occurred.
- At the discretion of MASCI, verbal complaints may be investigated following this procedure.

Complaints may be submitted to MASCI verbally in person and over the phone or in writing. After a MASCI staff member has received a complaint, they shall place all details in the Complaints Receipt Form (FP-806-01).

Then, this form shall be given to the **VVS1** Section for officially register and forward to the relevant department to start a preliminary investigation of the cause, gather information and provide comments.

During the preliminary investigation of the complaint, the relevant department shall ensure that the information provided contains sufficient details and evidence to substantiate and support the complaint and to ensure it is not merely hearsay. The related department shall propose the detail of complaint to the President of MASCI for consideration, through Executive Vice President and Quality Manager/Assistant Quality Manager respectively.


The consideration result shall be taken as follows:

#### 5.2.1.1 Invalid/Unsubstantiated Complaint

If the complaint is determined to be invalid or unsubstantiated, either the Quality Manager/ Assistant Quality Manager or the **VVS1** Officer will be informed. Then Quality Manager/ Assistant Quality Manager or the **VVS1** Officer will notify the complainant within 7 days of the determination and close out the complaint in FP-806-01.

#### 5.2.1.2 Valid/Substantiated Complaint

In the case of a complaint, if it is determined to be valid and substantiated, then there are two possible courses of action.

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- If the complaint is related to the validation, verification or certification activities of MASCI then the responsible person shall be identified. Proceed to Section 6.2.2.1.
- If the complaint is related to the activities of a stakeholder, then the responsible person shall be identified. Proceed to Step 6.2.2.2.

5.2.2 Handling Process of Valid/Substantiated Complaints


All relevant persons shall hold in confidentiality all information generated during the handling process of valid/substantiated complaints according to Safeguarding Impartiality Procedure (P-807).

5.2.2.1 The complaint is related to the validation, verification or certification activities of MASCI

- 1) Quality Manager/Assistant Quality Manager/**VVS1** Officer shall notify the complainant that the received complaint is in process. The notification shall be made within 7 days after the date of consideration by the President of MASCI.
- 2) Complaints Receipt Form (FP-806-01) and relevant documents shall be forwarded to the responsible person. The responsible person shall be independent from the validation, verification or certification activities in the complaint.
- 3) The responsible person shall conduct a complaint investigation, analyze the results, and submit a corrective and preventive action proposal to Quality Manager/Assistant Quality Manager. The corrective and preventive action shall be considered to prevent recurrences of problem.
- 4) Quality Manager/ Assistant Quality Manager shall review the proposed corrective and preventive actions, assign a person to follow up on the results of the execution of the actions and submit them to the President, via the Executive Vice President, for approval.
- 5) Once the actions taken are completed, the assigned person shall follow up on and record the results of the execution of the actions in FP-806-01.
- 6) Quality Manager/Assistant Quality Manager shall review the results of the execution of the actions and submit them to the President, via the Executive Vice President, for consideration.
- 7) **VVS1** Officer shall notify the result of actions to the complainant, and then close out the complaint case.

5.2.2.2 The complaint is related to the activities of a stakeholder/client

- 1) Quality Manager/Assistant Quality Manager/**VVS1** Officer shall notify the complainant that the received complaint is in process. The notification shall be made within 7 days from the date of consideration by the President of MASCI.

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- 2) Complaints Receipt Form (FP-806-01) and relevant documents shall be forwarded to the responsible person.
- 3) The responsible person shall notify the complaint issues and related facts regarding the confidentiality of information to the stakeholder /client. The stakeholder/client shall reply within 15 working days after the date of notification letter. The reply shall consist of comments and detail of corrective and preventive action. If there is no reply from the PP within the specified timeframe, the stakeholder/client shall be contacted and reminded of the deadline.
- 4) Quality Manager/Assistant Quality Manager shall review the documents received from stakeholder/client and submit them to the President, via the Executive Vice President, for consideration.
- 5) Once the result of actions taken are summarized. Responsible person shall follow up on and record the result of actions in FP-806-01, including attachment of the relevant documents (if any).
- 6) Quality Manager/Assistant Quality Manager shall review the results of actions taken and submit them to the President, via the Executive Vice President, for consideration.
- 7) **VVS1** Officer shall notify the result of actions to the complainant, and then close out the complaint case.

#### 5.2.3 Making a summary report

Quality Manager/Assistant Quality Manager/**VVS1** Officer shall summarize the result of the actions taken and report for management review according to Management Review Procedure (P-805).