



Operational Rule for Handling Complaints and Appeals



Korea Forestry Promotion Institute (Kofpi)
Korean Forest Certification Council(KFCC)

475, Gonghang-daero, Gangseo-gu, Seoul, Republic of Korea

Tel : 02-6393-2743

Fax : 02-6393-2718

HP : <https://kfcc.kofpi.or.kr>

| | | | |
|------------------|--|---------------|---------------|
| Name of Document | Operational Rule for Handling Complaints and Appeals | | |
| Document Number | KFCS-R-05 | | |
| Approval by | Korea Forest Certification Council(KFCC) | Approval Date | 2018. 11. 21. |

<Contents>

| | |
|---|--------------|
| Chapter 1. General Provisions | 1 |
| Article 1. (Purpose) | 1 |
| Article 2. (Scope of application) | 1 |
| Article 3. (Normative references) | 1 |
| Article 4. (Responsibility and Authority) | 1 |
| Chapter 2. Work Procedures | 2 |
| Article 5. (Receipt of complaints) | 2 |
| Article 6. (Handling complaints) | 3 |
| Article 7. (Follow-Ups) | 3 |
| Article 8. (Annex) | 4 |
| - Annex 1. Complaints and Appeals Handling Request Letter | |
| - Annex 2. Complaints and Appeals Handling Register | |

Operational Rule for Handling Complaints and Appeals

Enacted on 22. 12. 2015.

Revised on 21. 11. 2018.

Chapter 1 General Provisions

Article 1 (Purpose) This rule is defined detailed business procedure to handle stakeholder' complaints and appeals (hereinafter referred to as the "complaints") transparently and impartially relating to Korea Forest Certification Scheme (hereinafter referred to as the "KFCC") based on article 21, Operation Guideline for KFCS run by Korea Forestry Promotion Institute (hereinafter referred to as the "Kofpi")

Article 2 (Scope of application) This rule shall be applied to work from receipt of stakeholder' complaints, handling and informing its result, follow-up action of the KFCC run by the Korea Forest Certification Council (hereinafter referred to as the "KFCC") within Kofpi, and the definition of terms used in this procedure are as following:

1. Complaints are Individual or organizational expression of discontent over Kofpi activities in anticipation of a response
2. Appeals are individual or organizational requests to reconsider unfavorable decisions regarding Kofpi activities

Article 3 (Normative references) This rule shall be complied with PEFC(Programme for the Endorsement of Forest Certification) requirement for handling complaints, and the list of standards this rule refers to is as follows:

1. PEFC GL7 :2007 PEFC Council procedures for the investigation and resolution of complaints and appeals
2. ISO 1002 :2004 Quality management –Customer satisfaction –Guidelines for

complaints handling in organization

Article 4 (Responsibility and Authority) ①The responsibility and authority of KFCC leader are follows.

1. Approval of Appeal Resolution Subcommittee
2. Final approval of resolution results
3. Final approval of operation rules for complaints and appeals

②The responsibilities and authority of Appeal Resolution Subcommittee (hereinafter referred to as the "ARC") is as following:

- Report complaints investigations and results

③The responsibilities and authority of the head of the Secretariat is as following:

1. Organizing complaints handling procedure and information disclosure
2. Receiving complaints and reviewing validity
3. Organizing and Convening ARC
4. Informing the results of processed complaints
5. Determining the measures to prevent a reoccurrence of complaints

Chapter 2 Work Procedures

Article 5 (Receipt of complaints) ①The head of the Secretariat of KFCC shall ensure that stakeholder related to Kofpi work be allowed to raise complaints, and provide them access to information on how these complaints are dealt with once received.

②The head of the Secretariat shall review the complaints received and conforming that there is not anything missing in the information. Where there is missing information, the head of the Secretariat shall ask the claimant for supplement information.

③The head of the Secretariat shall review the validity of complaints received. Where necessary in handling according to the complaints handling procedure, management register shall be submitted as shown in the following table.

[table 1] Numbering method for documentation of the complaints handling process

| Year of Issue – Serial No. | |
|----------------------------|---|
| Abbreviation | "C" for Complaint, "A" for Appeal |
| year of issue | Statement of the year of issue in a four digit number |
| Serial No. | Grant of positive numbers, 001, 002, 003, etc, in ascending order |

④The head of the Secretariat shall report to the Chairman of the KFCC about the received complaints and the action plans including the following:

1. Claimant's detail(name, position, and contact information)
2. Content of complaints
3. Action plan for handling complaints and status in personnel organization of the complaints handling panel

⑤The head of the Secretariat shall inform the claimant of receipt of the claim and of the intended action plan with in seven days of receipt.

Article 6 (Handling Complaints) ①In an effort to handle complaints impartially, the head of the Secretariat shall organize an ARC with internal and outside professionals isolated from the complaints raised.

②To ensure independence and impartiality of complaints handling work, the head of the Secretariat shall have Conflict of Interest and non-disclosure document.

③After a receipted complaints has been analysed and validated, the ARC shall submitted its results to the head of the Secretariat. If ARC decide the receipted complaint is not validate, the head of the Secretariat shall inform the claimant of the rejection decision after approval of the chairman of the KFCC.

④In the case a receipted complaint is validate, the ARC shall examine and submit to the head of the Secretariat a report containing the following:

1. Analysis of the complaints results
2. Cause of the complaints and recommendation of take action

⑤Based on the report submitted by ARC, the head of the Secretariat shall write report and attain approval form the chairman of KFCC, and shall inform claimant about the results of the complaint investigation, formal decision and corrective/preventive measures.

⑥In the case the claimant is not satisfied with the result, the head of the Secretariat can make ARC to re-review for one time.

Article 7 (Follow-Ups) ①The head of the Secretariat shall investigate the cause of handled complaints, and take appropriate actions to prevent its re-occurrence
②The head of the Secretariat is responsible for maintaining the confidentiality of all information related to complaints.

Article 8 (Annex)

1. Annex 1. Complaints and Appeals Handling Request Letter
2. Annex 2. Complaints and Appeals Handling Register

APPEND<2015.12.22.>

This rule shall take into effect from the date when it is approved by the chairman.

[Annex 1]

| | | | |
|--|--|---|--|
| Complaints and Appeals Handling request letter | | | |
| Complaints/Appeals | <input type="checkbox"/> Complaints <input type="checkbox"/> Appeals | submit date | |
| Claimant | | Contact | |
| Content of Complaints and Appeals (written by five W's and one H, if the box is small, please attached next page.) | | | |
| Date Received | | Related department | |
| date of Secretary check | | | |
| Result of Complaint and Appeals review | <input type="checkbox"/> Validity <input type="checkbox"/> non-validity <input type="checkbox"/> others() | | |
| 1. investigation of the cause 2. Take – action | | | |
| Signature of ARC | | Handling date | |
| Handling Notice date | Remarks | <input type="checkbox"/> satisfied <input type="checkbox"/> unsatisfied <input type="checkbox"/> others() | |
| Follow up actions | | | |

[Annex 2]

Complaints and Appeals Handling Register

[illegible]