Procedure for Management of Petitions, Complaints and Claims COLCX

Version 1.0

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1. OBJECTIVE

Establish guidelines for the management of petitions, complaints, and claims (PCC) received during the registration and certification of Greenhouse Gas (GHG) mitigation initiatives under the COLCX program.

2. SCOPE

This document is applicable to all Petitions, Complaints and Claims (PCC) submitted by interested parties in relation to activities, products or services within the registration and certification process of GHG mitigation initiatives under the COLCX program.

The COLCX PCC system remains open to any complaint that it does not have another handling mechanism, including:

- Inquiries, complaints, or requests regarding COLCX policies, procedures, or personnel.
- Comments on program rules and documents.
- Complaints about the transparency and operability of the certification process.
- Reports of non-compliance with commitments by the projects.
- Complaints about the performance of Validation and Verification Entities (VVOs) in the provision of an evaluation service within the COLCX program.
- Any other situation that may give rise to a PCC within the scope of the program.

Under the COLCX program, the confidentiality of all requests, complaints and claims submitted by stakeholders is guaranteed. All information related to these processes will be treated as strictly confidential, and no details will be disclosed without the explicit consent of the interested party, except when required by law or necessary for the resolution of the dispute.

For those interested in obtaining detailed information about a specific case, they may request it directly to COLCX through its PCCS section, always within the limits of confidentiality and data protection applicable.

3. RECEPTION AND ADMISSION OF PCC

- Any interested party may submit a PCC to the COLCX program by following the procedure set forth in this document. By doing so, you agree to the regulations of this process.
- Anonymous PCCs may limit the ability to effectively resolve the request. COLCX reserves the right to reject anonymous complaints if they do not include a valid justification for anonymity and sufficient evidence to support the PCC. Complainant may request that their identity be kept confidential through formal written requests.

What is not accepted as a complaint:

- Complaints related to the host country's laws, policies, or regulations, unless they directly affect compliance with COLCX standards and procedures.
- Complaints about internal COLCX processes, such as technical or administrative.
- Repeated complaints by the same complainants on matters already dealt with unless they include new evidence.
- Complaints about matters already investigated and solved in the last two years, even if filed by another person, unless there is new evidence.

4. RESPONSABILITIES

- The General Director is responsible for defining policies and guidelines that promote excellence in the provision of COLCX services, aimed at increasing the levels of customer satisfaction, as well as the effectiveness and efficiency in the process of handling complaints; The General Director also has sufficient resources to define and implement the process of handling complaints.

- The Technical Manager is responsible for ensuring the implementation and maintenance of this procedure, as well as managing the necessary resources within the process for the handling of complaints.

- The Quality Committee participates in the analysis and definition of actions for the solution of complaints and is responsible for verifying that the treatment of PCCs has been conducted in accordance with the provisions of this procedure. To this end, they review the PCC management reports, validate compliance with the defined steps and may request adjustments or corrective actions in case of deviations.

- The COLCX sales executive is responsible for maintaining direct communication with customers and for responding in a prompt manner to their PCC or channeling them to the corresponding responsible person, ensuring compliance with the times established in the management process flow (numeral 7.4 of this document).

- The SGI Coordinator is responsible for the registration in the application defined by the organization for the improvement management, in addition to preparing reports on the management of complaints submitted under the COLCX program.

- All levels of the organization involved in the process for certification and registration of GHG mitigation initiatives under the COLCX program must follow the guidelines set out in this document for the receipt and handling of complaints.

5. DEFINITIONS

The following definitions are adopted from the GTC-ISO 10002 standard, which provides guidelines for the complaint handling process in organizations, aimed to improve customer satisfaction through effective, transparent, and user-centered management.

- Complainant: Person, organization or its representative, who expresses a complaint.
- Complaint: Expression of dissatisfaction made to an organization, related to its product or service, or to the complaint handling process itself, where a response or resolution is explicitly or implicitly expected.
- Customer: A person or organization that could receive or that receives a product or service intended for use by or required by that person or organization.
- Customer satisfaction: Customer perception of the degree to which their expectations have been met.
- Customer service: The organization's interaction with the customer throughout the life cycle of a product or service.
- Feedback: Opinions, comments and expressions of interest in a product, a service or a complaint handling process, which are generated once the corresponding actions have been taken to provide a response or solution.
- Stakeholder: Person or organization that may affect, be affected or be perceived as affected by a decision or activity.
- Organization: A person or group of people who have their own functions with responsibilities, authorities, and relationships to achieve their objectives.

6. RELATED DOCUMENTS

- ISO 10002 Guidelines for handling complaints in organizations.
- RFC-SGI-PR-02 Improvement Management Procedure.

7. DEVELOPMENT OF THE PROCEDURE

7.1 GENERAL INFORMATION ABOUT THE PCC

The following criteria for assessing the impact of a complaint provide guidelines and examples that may be considered in rating the impact, but should not be limited to the following descriptions, as each case may vary depending on the particular facts.

LEVEL OF RISK		
Severe	**Moderate**	**Mild**
When it is evident that the principles of the COLCX standard may be compromised.	When there is evidence of deficiencies in the application of the methodologies and/or procedures of the standard.	When there is evidence of possible non-compliance that does not affect the credibility of the COLCX standard, such as failure to properly manage

LEVEL OF RISK		
Severe	**Moderate**	**Mild**
When there is a violation of the program's monitoring mechanisms or safeguards. When there are repeated complaints regarding the fulfillment of the commitments acquired.	When there is evidence of failures in the provision of services that may affect the credibility of the COLCX standard.	a requirement or disagreements in the provision of the service.

Regardless of the level of risk associated with the case, all complaints and claims will be treated in the same way, as set forth in section 6.2 of the COLCX program.

7.2 MANAGEMENT OF PCC

No.	Stage	Description	Responsible	Registration
1	Reception of the PCC	Complaints related to the COLCX process will be made through the form published on the website under the option: Contact us PCC. When a complaint is received by other channels, such as meetings with customers, e-mail or telephone, an entry record must be generated to support the filing in the Integrated Management System (SGI). In all cases, the Technical Manager or Sales executive must notify the IMS Coordinator, who will be responsible for registering the PCC in the system and assigning a unique identification code. The initial PCC record must include, at a minimum, the following data: full name of the requester, e-mail, telephone number, type of request (petition, complaint, claim or suggestion) and a clear description of the reason for the PCC. If required, additional documents may be attached to supplement the information. If the information provided is insufficient, the claimant should be contacted for further information before continuing with the process.	Interested Party Technical Manager Sales executive COLCX SGI Coordinator	Website E-mail address PCC Matrix register

2	Confirmation of receipt of the PCC	Once the complaint has been received, confirmation of receipt must be sent to the complainant within a maximum of five (5) working days.	Technical Manager Sales executive COLCX	E-mail address
3	Evaluation of the PCC	Subsequently, the Technical Manager shall review the content of the complaint and identify its impact and the need and possibility of defining immediate actions. In cases where it is identified that the complaint is not admissible, the complainant will be notified. If the complaint is identified as admissible, the COLCX Process Quality Committee is convened within five (5) working days after confirmation of receipt.	Technical Manager	PCC Matrix register
4	PCC Investigation	The Quality Committee of the COLCX Process formed by the General Director, Technical Manager, Sales executive and SGI Coordinator analyze the information described in the PCC to establish the causes that originated the situation and establish the action plan.	COLCX Process Quality Committee	Minutes of the Committee
5	Response to PCC	Based on the information obtained and the definition of the actions, a response must be issued to the complainant indicating the proposed action and sent within five (5) working days after the approval of the action plans.	Technical Manager	E-mail address
6	Closure of PCC	Once the proposal has been accepted by the client and the established actions have been implemented, the PCC is closed.	SGI Coordinator	PCC matrix register
7	Follow-up and improvement	Follow-ups shall be conducted throughout the management process until the complainant is satisfied, or the final decision has been made, the status of the complaint shall be updated in the control and follow-up tool. The person in charge of the IMS may periodically audit compliance with this document. Annually, the person in charge of the IMS will report to the program's senior management on the management of the complaints filed within the	SGI Coordinator	PCC matrix register

		framework of the COLCX program, guaranteeing the confidentiality of the information.		

7.3 RECORD KEEPING AND ACTION TRACKING

7.3.1 Publication of PCC

Once a petition, claim, or complaint (PCC) has been managed or closed, COLCX will publish an overview including a summary of the situation and the resolution adopted. This publication will be made if the confidentiality of the parties involved is not compromised and in compliance with applicable privacy and transparency regulations.

To ensure access to information, interested parties who require additional details about a specific PCC may request it directly to COLCX through official channels, always within the limits of confidentiality and data protection established. COLCX reserves the right to deny access to the requested information when its disclosure compromises the privacy of the parties involved or violates applicable regulations.

7.3.2 Analysis and continuous improvement

All PCCs received will be analyzed to identify patterns, common causes, and areas for improvement. This analysis not only allows us to implement corrective actions in the system to prevent the recurrence of similar complaints, but also to strengthen process management and increase the effectiveness and consistency of responses, ensuring similar treatment for comparable cases.

7.4 PCC MANAGEMENT PROCESS FLOW

5 Days	5 Days	15 Days	5 Days	2 Weeks
• Once the PCC has been received, confirmation of receipt must be sent to the claimant within five (5) working days.	• The COLCX Process Quality Committee shall be convened within five (5) working days after confirmation of receipt.	• The Quality Committee must perform an analysis of the information described in the PCC to establish the causes that originate such situation and establish the action plan within fifteen (15) working days after the committee meeting.	• Issue the response to the complainant indicating the proposed action and send it within five (5) working days after approval of the action plans.	• Once the proposal has been accepted by the client and the established actions have been implemented, the PCC is closed.

7.5 FINAL CONSIDERATIONS

This procedure will be reviewed annually by the Quality Committee and, if necessary, updated according to the applicable context. Additionally, it may be modified at any time if relevant changes are identified that justify it.

Document History

Version	*Date*	*Description*
1.0	25/04/2025	Initial version