

China NAO Complaints Policy

The Duke of Edinburgh's International Award China

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Complaints Policy- Background

The Duke of Edinburgh's International Award (hereinafter referred to as the "Award") is an international award granted by the Duke of Edinburgh's International Award Foundation (hereinafter referred to as the "Foundation"). Shanghai Enshaw Technology Group Co., Ltd. is the official agency of the Duke of Edinburgh's International Award in mainland China (excluding the Hong Kong Special Administrative Region, Macau Special Administrative Region, and Taiwan of the People's Republic of China, hereinafter the same) and has obtained an exclusive, transferable license for the relevant intellectual property rights from the Duke of Edinburgh's International Award Foundation to sublicense the relevant intellectual property rights to carry out its business. In this China NAO Complaints Policy (hereinafter referred to as "this Policy"), Shanghai Enshaw Technology Group Co., Ltd., Beijing Intaward International Culture Development Co., Ltd., and their affiliated companies are collectively referred to as "China NAO" or "we".

China NAO requires all licensed Award delivery partners in Mainland China (referred to as "Award Delivery Partners", including but not limited to National Award Centers (NAC), Award Centers (AC), Open Award Centers (OAC), and Recognized Activity Providers (RAP) to comply with and implement the Foundation's policies, Award Delivery Partners should establish and maintain their own complaints policy in line with the Foundation's Complaints Policy.

China NAO Complaints Policy applies to complaints raised against Award Delivery Partners in mainland China, their staff, volunteers, as well as staff from China NAO and the Foundation, regarding violations of laws and regulations of mainland China or violations of the Foundation's or China NAO's rules or requirements.

Award Delivery Partners are required to establish their own Complaints Policy as rules and guidelines for handling complaints within their organization. The Complaints Policy of the Award Delivery Partners should comply with the requirements of this Policy and should not conflict with or contradict China NAO Complaints Policy. In case of any conflicts or contradictions, the provisions of China NAO Complaints Policy shall take precedence over the Complaints Policy of the Award Delivery Partners.

When to use this process

Please first file a complaint to the Award Delivery Partner that assisted you in Award registration and facilitated your Award activities ("Your Affiliated Award Delivery Partner").

You may submit a report to China NAO under the following circumstances: (1) Your Affiliated Award Delivery Partner has not provided any feedback or taken any action on your complaint report within 15 working days after receiving it, or (2) You are dissatisfied with the outcome of the complaint handled by Your Affiliated Award Delivery Partner.

If you wish to file a complaint with China NAO in accordance with this Complaints Policy, please complete all the blank fields in the attached Complaint Template and sign it. Then, send the signed PDF version to the China NAO Compliance Department at compliance@intawardchina.cn.

You are required to provide all the requested detailed information and documents as stated in the

Complaint Template and any additional requirements that China NAO may request in order to verify your identity and process your complaint.

When not to use this process

If you believe that someone is in immediate danger or at risk of harm (such as a safeguarding concern) you should contact Your Affiliated Award Delivery Partner immediately. If that's not possible or appropriate, you should contact the relevant authorities in your area.

We do not accept anonymous complaints because it is not possible to clarify or verify information without talking to you. However, if you ask us to keep your identity confidential, we will do our best to do so but this may mean we will be severely restricted in how we can investigate your complaint. And you will be solely responsible for any related adverse consequences that may arise from this.

If the issue you are raising concerns very serious matters such as possible fraud, discrimination, corruption or unethical behaviour you may raise the matter under our Whistleblowing policy.

We do not normally accept complaints if more than three months has passed since you became aware of the issue you are contacting us about.

How long will it take?

We will confirm receipt of your complaint once we have verified your identity and ensured that you have followed the complaint process outlined in this Policy.

We will keep you informed of progress and regularly update you on timescales. Although we will deal with your complaint as quickly as possible, we cannot be precise about how long it will take to investigate your complaint as it depends on the complexity of the issues and how long it takes it to gather information from other people. However, we will complete our investigation as soon as we can and keep you informed along the way. We will aim to resolve the matter within 30 days and if that is not possible, we will send you a progress report in this timescale.

What if I am not satisfied with the outcome?

If you are not satisfied with the complaint handling outcome from the China NAO Compliance Department, you may file an appeal to the CEO of China NAO. Please send your appeal application and relevant documents via email to ceo@intawardchina.cn.

If, after completing the complaint processes of (1) the Award Delivery Partner and (2) the China NAO Compliance Department, as well as the complaint appeal process of China NAO, you are still dissatisfied with the outcome, you may submit a complaint application to the Foundation.

The Foundation always seeks to resolve issues locally, and its complaint procedure and process should only be considered as a last resort. It should only be utilized when you are unable to resolve the issue through your Award Delivery Partner and the complaint process of China NAO.

The Foundation's Complaints Policy and complaint process do not apply to activities or behaviors related solely to the work of a specific Award Delivery Partner or that only impact the work of that Award Delivery Partner. Complaints regarding such activities or behaviors should be submitted directly to the respective Award Delivery Partner and China NAO, following their complaint policies.

We recommend that you submit your complaint to the Foundation through China NAO or copy China NAO in your correspondence. This will enable China NAO to assist you in connecting with the Foundation regarding your complaint as soon as possible, avoiding duplication of work and delays in the complaint resolution process.

More information

We hope this page has been helpful in providing an overview of our complaints procedure. Before you complain please read the policy document below, which provides full details of how China NAO deals with complaints.

If you need any help or guidance, please do contact us at compliance@intawardchina.cn and we will do all we can to assist you.

This Policy specifically does not cover:

- (1) Employment disputes that, according to laws and regulations of mainland China, should be handled by the Labor Dispute Arbitration Committee or the People's Court.
- (2) Matters of Safeguarding or Whistleblowing which are dealt with using the relevant policies. Although many of the procedures are similar, these matters are addressed under different rules and processes. If a person wishes to raise a Safeguarding or Whistleblowing matter, they should refer to the relevant policies and procedures.
- (3) Internal Foundation complaints, disputes, and disciplinary matters raised by Foundation employees against other employees should be governed by the Foundation's Employee Handbook.

1. DEFINITION

Complaint and Dispute: means a grievance against or dispute with or between individuals or Award Delivery Partners, China NAO and the Foundation, raised by any individual, an Award Delivery Partner, China NAO or a Foundation volunteer.

Whistleblowing: means reporting very serious behaviour or issues that are in the public interest and cannot be considered a complaint or dispute. Whistleblowing is most often used when illegal activity is discovered, serious or institutional discrimination occurs, possible fraud or corruption or unethical behaviour is detected. For full details see the Whistleblowing policy.

Vexatious complaint: means any complaint that meets one or more of the following criteria:

- 1.1 Persists in pursuing a complaint where the procedure for handling complaints has been fully and

properly implemented and exhausted.

- 1.2 Repeated unwillingness to accept documented evidence given as being factual, denying receipt of an adequate response, despite correspondence answering their complaint, or not accepting facts that have been verified to a reasonably possible extent.
- 1.3 Regular and continuous focus on a trivial matter to an extent which is out of proportion to its significance.
- 1.4 Persistently raises new issues or seeks to prolong contact by raising further concerns or questions whilst the complaint is being addressed. This specifically excludes new issues which are significantly different to the original complaint and must be addressed.
- 1.5 Unreasonable complaints or demands which impose a burden on the Award Delivery Partner, China NAO or the Foundation in terms of required resources which is out of proportion to the seriousness of the allegation or complaint, and where the complaint clearly is designed to disrupt or annoy, or has the effect of harassing another person, or can otherwise be characterised as obsessive or manifestly unreasonable.
- 1.6 Are repetitive complaints and allegations which ignore the actions and responses previously supplied.

2. PURPOSE OF THE POLICY

The purpose of this Policy is:

- 2.1 To provide a complaints procedure to be implemented by the Foundation, which is fair, clear, and easy to use for anyone wishing to make a complaint
- 2.2 To ensure all complaints are investigated fairly and in a timely manner
- 2.3 To ensure that complaints are, wherever possible, resolved amicably
- 2.4 To gather information which helps the Award Delivery Partners, China NAO and the Foundation to improve its performance and practice, particularly in respect of the overall governance practice of the Award Delivery Partners, China NAO and the Foundation.
- 2.5 To ensure the confidentiality of the process of handling complaints to protect both the complainant and any respondent during the process.

3. ACTIONS TO SUPPORT IMPLEMENTATION

For a full implementation of this Policy, China NAO will:

- 3.1 Publicise the existence of this Policy and associated procedures by making it easily available on China NAO website
- 3.2 Make sure all Award Delivery Partners in mainland China are aware of the policy.
- 3.3 Make sure all China NAO employees and volunteers engaged in activities for, and on behalf of, China NAO are aware of the process to submit a complaint

4. CONFIDENTIALITY

4.1 All complaint information will be handled sensitively and confidentially, providing information to the relevant parties only and in accordance with any relevant data protection requirements and legal requirements in respect of the subject of the complaint.

4.2 Anonymous complaints will not be accepted.

4.3 At the discretion of those investigating the complaint, the identity of the complainant may be withheld from a respondent. This option may only be exercised where withholding the information does not undermine a respondent's ability to address the complaint. It is understood that if the case is referred to public authorities, then the matter of withholding the identity of the complainant may not be an option.

5. RESPONSIBILITY

If a complaint that complies with this Policy is received, China NAO appoints the Compliance Department to receive and handle the complaint. The Compliance Department is responsible for reporting the received complaints and the conclusions of the complaints to the CEO of China NAO.

6. PRINCIPLES OF THE COMPLAINTS AND DISPUTES POLICY

6.1 Every effort should be made to resolve complaints and disputes as close to the point of conflict as possible. This means locally. Resorting to the Foundation's complaints and disputes policy should be seen as a last resort. Where no effort has been made to resolve the matter locally, the Foundation reserves the right to refer the matter to the Award Operator concerned.

6.2 All complaints and disputes will be taken seriously, managed expeditiously, dealt with in a timely manner, and promote the maintenance of relationships.

6.3 The process of complaint and dispute handling should be robust and safeguard against the ability of any individual to manipulate the outcome of a complaint.

6.4 For a complaint or dispute to be considered, it must:

6.4.1 be submitted in writing.

6.4.2 be within the scope of this Policy.

6.4.3 be submitted within three months of the date that the complainant reasonably knew enough facts to report the issue.

6.4.4 identify the complainant and provide contact information.

6.4.5 state the complainant's relationship to the organisation.

6.4.6 provide the basis for the complaint in 1,000 words or less, and in a clear and concise statement including whatever evidence is available, including dates and times.

6.4.7 provide details of the formal or informal resolution actions that have been taken so far to try to resolve the issue.

6.4.8 describe what the complainant would see as an acceptable outcome.

6.4.9 if there is reasonable belief that a complaint is vexatious or malicious, then it will not be progressed.

- 6.5 This Policy should not be used where individuals disagree with a Foundation or Association policy, or guidance provided within the International Handbook. Any concerns about such matters should instead be raised, via an Award Operator, for consideration using the Association MOU consultation process.
- 6.6 China NAO employees responsible for processing the complaint:
- 6.6.1 must provide all parties involved the opportunity to present their views clearly to ensure all facts are clear and understood.
 - 6.6.2 must consider all facts and points of view.
 - 6.6.3 may, within the constraints of confidentiality, seek the advice of other experts or consultants.
 - 6.6.4 should seek a solution that provides a right to a fair hearing, is aligned with our values, and is acceptable for both parties.
 - 6.6.5 must record the factors on which they have based their recommendation.
 - 6.6.6 should investigate and conclude the process as expeditiously as reasonably possible.
 - 6.6.7 The complaint process is primarily conducted in Chinese. However, in cases where the complainant or the respondent is a foreigner, English may be used.
- 6.7 One appeal to the CEO of China NAO is allowed regarding the outcome of the complaint process. The appeal can be made by either the complainant or the respondent.
- 6.8 If the complaint involves allegations of illegal or criminal activities, China NAO recommends and encourages the complainant to report the matter to the public security organs, prosecution organs, or other relevant authorities in mainland China. After consulting with practicing lawyers in China, China NAO may, based on the advice of Chinese practicing lawyers, report the illegal or criminal activities to the public security organs, prosecution organs, or other relevant authorities in mainland China.
- 6.9 If the complaint involves a Foundation employee as a respondent, the process is governed by the Foundation's Employee Handbook.

7. PROCESS OF COMPLAINT HANDLING

- 7.1 Every effort should be made to resolve complaints and disputes as close to the point of conflict as possible. This means locally or nationally. Resorting to the Foundation's complaints and disputes process should be seen as a last resort. Where no effort has been made to resolve the matter locally the Foundation reserves the right to refer the matter to the Award Operator concerned.
- 7.2 We recommend that you first file a complaint with Your Affiliated Award Delivery Partner. However, you may submit a complaint application to China NAO if any of the following situations occur: (1) Your Award Delivery Partner, after receiving your complaint, fails to provide any feedback or resolution within 15 working days, or (2) You are unsatisfied with the outcome of the complaint process conducted by your Award Delivery Partner.

If you wish to file a complaint with China NAO, please complete and sign the blank sections of the Complaint Template attached to this Policy. Please send the signed PDF version to the China NAO Compliance Department at compliance@intawardchina.cn.

You will be required to provide all the detailed information and documents requested in the Complaint Template as well as any additional requirements specified by China NAO. This is necessary for China NAO to verify your identity and process your complaint.

On receipt of a complaint:

7.3 China NAO Compliance Department acknowledges the complaint within seven days.

Acknowledgement does not necessarily mean the complaint has been accepted in accordance with the policy; it is simply a confirmation that the information sent by the complainant has been received.

7.4 China NAO compliance department logs the complaint, and email the CEO of China NAO, to advise them of a complaint having been received and note the respondent, if one exists. If the respondent to the complaint is one of the China NAO compliance department or the CEO, that individual will be excluded from the distribution list for that specific complaint and only be notified as the respondent in accordance with the process below.

7.5 If the complaint meets the criteria set out in this Policy, the China NAO Compliance Department will notify the complainant that the complaint has been accepted and is being processed. A concise list of the areas under investigation will be provided, and the complainant will be asked to confirm their willingness to proceed with the complaint investigation on this basis. Once confirmation is received, the process will continue as outlined below.

7.6 If the complaint does not meet the criteria specified in this Policy, the China NAO Compliance Department will notify the complainant that the complaint does not meet the policy requirements and will request the complainant to restate why the complaint meets the policy requirements or provide supporting information for China NAO to accept the complaint. If, after receiving the complainant's restatement or additional information, China NAO determines that the complaint meets the criteria of this Policy, the process will proceed from Section 9.

7.7 If, after following the supplementary process outlined in Section 8.6 and consulting with the CEO, the China NAO Compliance Department determines that the information provided by the complainant is insufficient to demonstrate that the complaint meets the requirements of this Policy, the China NAO Compliance Department will notify the complainant that the complaint does not meet the policy requirements, and the process will be concluded.

8. PROCESSING A COMPLAINT

8.1 Upon receiving a complaint that meets the requirements of this Policy, the China NAO Compliance Department personnel handling the complaint will:

8.1.1 Confirm that there is no conflict of interest in handling the complaint.

8.1.2 If necessary and with the approval of the China NAO CEO, engage experts or consultants with specialized skills to participate in resolving the complaint.

8.2 If allowing the respondent to continue working would pose safety or reputational risks to the Foundation, China NAO, or the Award Delivery Partner, the China NAO Compliance Department

personnel handling the complaint have the authority to:

- 8.2.1 Recommend to the China NAO CEO the suspension of the respondent's involvement in China NAO's work or activities during the complaint investigation.
- 8.2.2 If the respondent is an active volunteer related to an Award Delivery Partner or a member of staff, and with the consent of the CEO of China NAO, issue a recommendation of suspension and details of the complaint to an appropriate contact in the Award Delivery Partner.
- 8.2.3 If the respondent is a Foundation employee, pass the recommendation for suspension in line with the Employee Handbook to the Secretary General for action under the relevant internal processes.
- 8.3 Within five working days the designated China NAO Compliance Department personnel handling the complaint will:
 - 8.3.1 Complete a complaint document that details the alleged circumstances of the complaint including dates, places time and people involved.
 - 8.3.2 Share the complaint document with the complainant and provide between 5 and 14 days (or a reasonable time for the complainant to review and accept the pertinent information), before the complaint document is issued to the respondent: and then,
 - 8.3.3 notify the complainant and respondent of a proposed timeline for actions on the complaint.
- 8.4 Should China NAO Compliance Department, during the investigation of the matter, identify further issues beyond those detailed in the complaint document, either by the respondents, the complainants or any third parties, they will be granted the full process and rights allocated to the initial respondents in the process. Where this requires an adjustment to the timelines previously communicated, such change and the reason therefore shall be notified in writing to all respondents and complainants.
- 8.5 Once the matter has been investigated and considered, China NAO Compliance Department will decide if the complaint (or each part of it) is upheld, partially upheld, or not upheld. They will also recommend if any sanction is required and issue an overall recommendation on the complaint to the CEO of China NAO.
- 8.6 When informing the complainant and respondent of the outcome, China NAO Compliance Department will (1) clearly state if the complaint is to be upheld, partially upheld, or not upheld and the reasons that led to this decision; referencing, where possible, all the key issues raised by the complainant based on the findings of the investigation. (2) identify recommendations that will be undertaken based on the outcome of the complaint in the spirit of continuous improvement.
- 8.7 China NAO Compliance Department will also explain how the complainant can appeal if they are unhappy with the process undertaken or the outcome of the complaint and how they can be contacted.
- 8.8 Both the complainant and respondent are entitled to one appeal under this process to the CEO of China NAO.

9 APPEAL PROCESS

- 9.1 Appeals should be made in writing, and the appeal application and documents should be sent via email to China NAO CEO at ceo@intawardchina.cn.
- 9.2 The appellant must provide sufficient evidence and information for the appeal to be reviewed. The

appeal application should be submitted no later than seven working days from the date of receiving the complaint handling decision made by China NAO Compliance Department.

- 9.3 In cases involving multiple respondents, appeals will be considered on an individual basis. The appeal will only affect the dispute resolution decision for which the appeal has been made and will not impact decisions regarding other non-appealed individuals.
- 9.4 Appeals will be reviewed and decided upon by the China NAO CEO. Except for complaints that have the right to be submitted for Foundation review, the appeal decision made by China NAO is final and binding.

10. DOCUMENTATION AND RECORDING

- 10.1 The complaint and recommendation, along with copies of communications with the complainant and respondent will be filed by China NAO Compliance Department.
- 10.2 For the purposes of institutional learning, China NAO Compliance Department will produce an anonymised summary of the complaint and recommendations arising for the use of China NAO and the Foundation in internal communications.

11. FILING A COMPLAINT WITH THE FOUNDATION

- 11.1 If, after completing (1) the Award Delivery Partner complaint process, (2) China NAO Compliance Department complaint process, and (3) China NAO appeal process, you are still dissatisfied with the outcome of your complaint or appeal, you may file a complaint with the Foundation. Complaints can be submitted to the Foundation through the following methods: by email to complaints@intaward.org, or by post or by hand to: Award House, St Matthew Street, London, SW1P 2JT. Please note the offices of The Chairman and Patron do not accept or deal with complaints.

12. MONITORING AND LEARNING FROM COMPLAINTS

- 12.1 China NAO Compliance Department will be responsible to report to the CEO of China NAO annually on complaints raised and corrective actions required. These reports are to be reviewed annually to identify any trends, which may indicate a need to take further action.

13. EFFECTIVENESS AND APPLICABILITY

- 13.1 This Policy is reviewed at a minimum of once every three years and updated as required. It is effective as of the adopted date of 20th June 2023.

Last reviewed: 20th June 2023

This Policy shall apply to complaints submitted on or after the effective date above.

Complaint Template Form

This form is used to collect complaint information, and the complainant agrees and authorizes China NAO to collect, store, process, and share all personal information involved in this complaint application form and the supporting complaint documents provided by the complainant, for the purposes of investigation, complaint handling, delivery of complaint decisions, making suggestions for improvement based on complaints, internal communication, and related purposes.

Name:
Passport holder of 【 country name 】 , ID No: 【 】 Chinese Residential Identity Card No. : 【 】
Contact email:
Contact number:
Contact Address:
Your Affiliated Award Delivery Partner:
Your relationship to the Duke of Edinburgh' s Award (i.e. volunteer, parent/carer):
Name of the person being complained against, contact information, and organization name:
Contact details of the person being complained against:
Name of the Award Delivery partner the person belongs to:

Complaint summary (what you think went wrong, including dates and times or any reported incidents. Please provide a clear list of matters you would like investigated. Please don't exceed 1,000 words and note that there will be opportunities to submit further evidence if required.)

Please submit the evidence related to the time of your complaint as an attachment along with this form.

Please provide details of any actions that have been taken so far to try to resolve the issue:

What is your desired outcome from the complaint process?

List of supporting documents related to your complaint provided:

