

Claims/Complaints, Appeals and Complaints.

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	PR-SG-001
	Grievances/Grievances, Appeals and Complaints
Revision N°: 4	Issue date: 06/06/2025

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1. Objective

Describe how to handle claims, complaints, appeals, and complaints made by any interested party of Global Certification Alliance SAS BIC

2. References

General Regulations of Global Certification Alliance SAS BIC

3. Scope

The Procedure is applicable for attestations granted based on all activities, standards or requirements under which Global Certification Alliance SAS BIC operates.

4. Responsibilities

It is the responsibility of management to properly manage this procedure as well as all decisions that are made at all levels of complaints, appeals and denunciations.

The Conformity Assessment Manager, Quality and Human Resources Manager and the management are responsible for the operation of this procedure.


5. Definitions

For the correct interpretation of this procedure, the following definitions have been established:

Claim/Complaint: expression of dissatisfaction related to an evaluation process or linked to a service provided to the client organization, for which a response and solution is expected.

Appeal: A client organization's request to Global Certification Alliance SAS BIC to reconsider the categorization of a finding, recommendation, or decision it has made in relation to a conformity assessment process (e.g., certification).

Denunciation: it is considered any type of legal conflict, not related or linked to ethical issues.

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6. Development

6.1. General

All employees of Global Certification Alliance SAS BIC may receive communications that can be classified as claims/complaints, appeals or complaints.

These communications may be received by any means. Global Certification Alliance SAS BIC has a form on its website that is managed through the FLOKZU software where any interested party can communicate claims/complaints, appeals and complaints. If it is not received through the web form, the recipient must upload the activity to the FLOKZU form.

Requests related to claims/complaints, appeals, complaints related to or about companies certified by Global Certification Alliance SAS BIC may be handled.

Every claim/complaint, appeal or complaint must be related to an organization. Complaints directly related to a natural person will not be received through this means.

Anonymous requests will not be handled, so it is mandatory to complete the fields of this form and provide the evidence required to process the case.

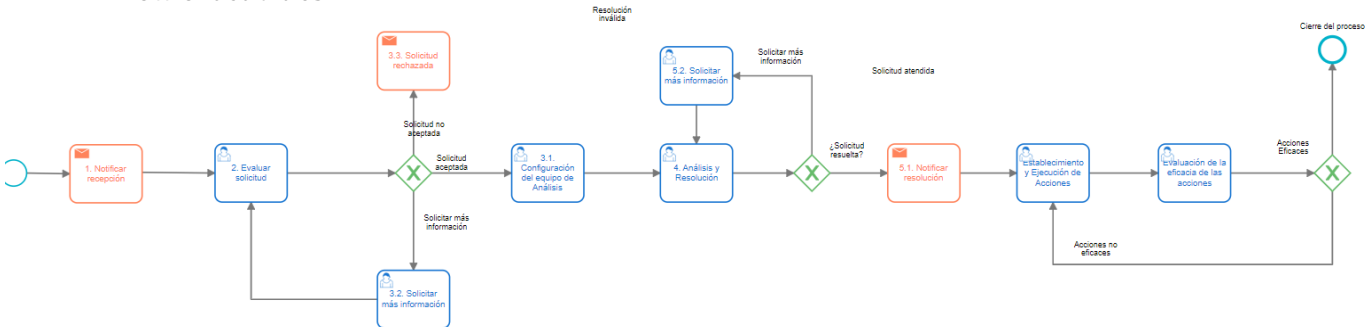
Once the claim/complaint, appeal, complaint has been filed, an email is automatically sent to the interested party notifying that their request was entered and assigning a code to it.

In all cases, evidence of the communications of all parties involved must be preserved, as well as all information related to the activities.


All customer information managed by ASCEND, regardless of the means or tool used for management, is held in strict confidence.

6.2. Process Flow

Every claim/complaint, appeal, complaint, once entered is processed under the following flow of activities:



After the claim/complaint, appeal or complaint activity has been entered, the person responsible for the admission must assign one of the persons responsible for the operation

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of the process. The person involved in the operation of the process must not be directly related to the claim/complaint, appeal or complaint. If it is related, it must be communicated immediately so that the situation can be managed by independent personnel.

The three options available for the start of the operation are:

- Conformity Assessment Manager
- Quality and Human Resources Manager
- Executive Management

Once the person responsible for the operation has been assigned, he or she will analyze the situation and may request additional information before proceeding to form the work team, Appeals committee (for appeals) and analysis.

The work and analysis team will decide on the relevance of the claim/complaint, appeal and denunciation, as well as the resolutions and actions if applicable. In all cases, the customer is informed of the final decision.

In no event shall the filing, investigation, and decision on appeals result in discriminatory actions against the appellant, complainant, or complainant.

If required, it is possible to request additional information for decision-making. Once the resolution has been taken, it is communicated to the counterparty involved and the relevance of taking action is evaluated.

In the event that actions are established, their effectiveness must be evaluated in order to close the process.

6.3. Specs

6.3.1. Claims/grievances, certified business appeals


Global Certification Alliance SAS BIC will not process claims/complaints or appeals made by personnel belonging to (or who have belonged to certified companies) if the same is not identified and/or made on behalf of the company.

In all cases, the client will be kept informed of the progress of the process and the decisions taken.

6.3.2. Appeals

In the case of appeals, the work team will be made up of the members of the Appeals Committee, which has the following structure:

Position/Organization

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Executive Director/ ASCEND
Conformity Assessment Manager/ ASCEND
Quality & HR Manager/ ASCEND
Technical Reference of Schematic. Assigned as applicable
Business representative. Assigned on appeal
Operations representative. If applicable
Legal Advisor . If applicable

6.3.3. Complaints

For all types of complaints, a legal advisor must be contacted, who will be part of the Global Certification Alliance SAS BIC team.

6.3.4. Additional Considerations

If required by law or requested by the customer, the CB will determine, together with the certified customer and the complainant, whether the subject matter of the complaint and its resolution will be made public and, if so, to what extent.

7. Records


-Software FLOKZU

8. Annexes

No annexes

9. Change Control

The current version of this document is only available through the document management system of the ESGInnova platform.

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Changes since the last version can be found underlined on the document.

Revision	Date	Summary of changes
01	9/1/25	The document is established
02	11/4/25	The procedure is clarified according to the finding of AI
03	5/5/25	It is clarified in items 6.1 and 6.3.1 that will be communicated to the client throughout the process according to the EGAC checklist
04	6/6/25	The committee table is unified