

Claims/Complaints, Appeals and Reports.

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1. Aim

Describe how to handle claims, complaints, appeals, and reports 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 to attestations granted based on all activities, standards or requirements with which Global Certification Alliance SAS BIC operates.

4. Responsibilities

The management is responsible for the correct management of this procedure as well as all decisions established at all levels of complaints, appeals and reports.

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

5. Definitions

The following definitions have been established for the correct interpretation of this procedure:

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

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

Complaint: It considers all types of legal conflict, not related or linked to ethical issues.

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6. Development

6.1. Generalities

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

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

Applications related to claims/complaints, appeals, and reports linked to or about companies certified by Global Certification Alliance SAS BIC can be processed.

All claims, complaints, appeals, or reports must be related to an organization. Reports directly related to an individual will not be accepted through this channel.

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

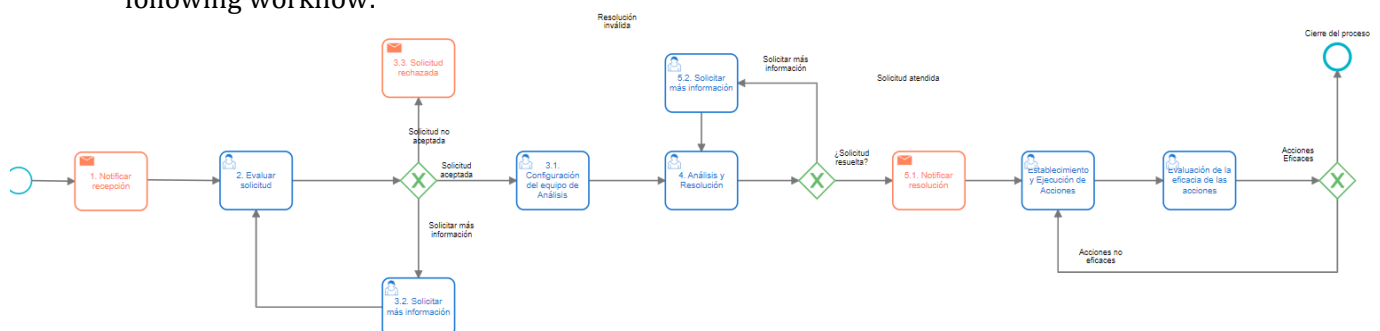
Once the claim/complaint, appeal, or report has been submitted, an email is automatically sent to the interested party notifying them that their request has been submitted and assigning a code to it.

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

All customer information managed by ASCEND, regardless of the medium or tool used for management, is kept strictly confidential.

6.2. Process flow

All claims/complaints, appeals, and reports, once received, are processed according to the following workflow:



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After a complaint, appeal, or report is submitted, the person responsible for receiving it must assign it to one of the individuals responsible for processing it. This person must not be directly involved with the complaint, appeal, or report. If they are, they must immediately notify the relevant authorities so that the situation can be handled by independent personnel.

The three options available for the start of operations are:

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

Once the person responsible for the operation has been assigned, they 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 validity of the claim/complaint, appeal, and report, as well as the resolution(s) and actions, if applicable. In all cases, the client will be notified of the final decision.

In no case will the presentation, investigation and decision on appeals give rise to discriminatory actions against the appellant, claimant or complainant.

If necessary, additional information may be requested to aid in decision-making. Once a decision has been made, it is communicated to the other party involved, and the appropriateness of taking action is assessed.

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

6.3. Specs

6.3.1. Claims/complaints, appeals from certified companies

Global Certification Alliance SAS BIC will not process claims/complaints or appeals made by personnel belonging to certified companies (or who have belonged to them) if they are 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 made.

6.3.2. Appeals

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

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Position/Organization
Chief Executive/ASCEND
Conformity Assessment Manager/ ASCEND
Quality & HR Manager/ ASCEND
Scheme Technical Reference. Assigned as applicable.
Business area representative. Assigned on appeal.
Operations Representative. If applicable.
Legal Advisor. If applicable

6.3.3. Complaints

For all types of complaints, you should contact a legal advisor 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 client, the OC will determine, together with the certified client and the claimant, whether the subject of the claim and its resolution will be made public and, if so, to what extent.

6.3.5 Impartiality control and conflict of interest management

In order to ensure impartiality and avoid any conflict of interest in the processes of analysis, review and resolution of complaints and appeals, the following mandatory methodology is established:

1. Identifying previous relationships with the client

Before assigning personnel to review or approve a complaint or appeal, Quality

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Management must verify whether such personnel—including those acting in managerial roles—have:

- Provided consulting services to the client, or
- Maintained a working relationship with the client.
- Or if there are any restrictions arising from the application of the Impartiality Policy and the Conflict of Interest Management Policy.

2. **Restriction period**

In the event that any of the aforementioned links or restrictions are in place, the person involved may not participate in the review, analysis, recommendation, approval or decision-making related to the complaint or appeal filed by that client for a minimum period of two (2) years from the date of termination of the consulting service or the employment relationship.

3. **Formal declaration of independence**

All assigned personnel must have a complete declaration of Impartiality and Absence of Conflicts of Interest prior to the start of the processing of the complaint or appeal, confirming that there is no relationship that could compromise its objectivity.

4. **Process reassignment**

If it is detected that a person is within the restriction period, the following must be done:

- Immediately reassign the review or approval to a team member without a conflict of interest.
- Record the situation and reassignment in the associated file.

5. **Individual commitment**

All employees have a responsibility to refrain from participating in a complaint, claim or appeal management process where there are reported conflicts of interest or restrictions.

6. **Registration and traceability**

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All verification, declaration, reassignment, and decisions associated with the application of this methodology must be reported to the Compliance Officer.

7. Records

-FLOKZU Software

8. Annexes

It does not include attachments

9. Change control

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

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 AI's finding
03	5/5/25	Items 6.1 and 6.3.1 clarify that the client will be informed throughout the process according to the EGAC checklist.
04	6/6/25	The committee table is unified.
05	7/12/2025	Point 6.3.5 Impartiality control and conflict of interest management is added