

SYSTEM CERTIFICATION PROCESS



DESCRIPTION OF THE ASCEND PROCESS

REV-01 27/5/2025

3 YEAR CYCLE

CERTIFICATION

Stage 1 + Stage 2
Sub-processes 1 to 7

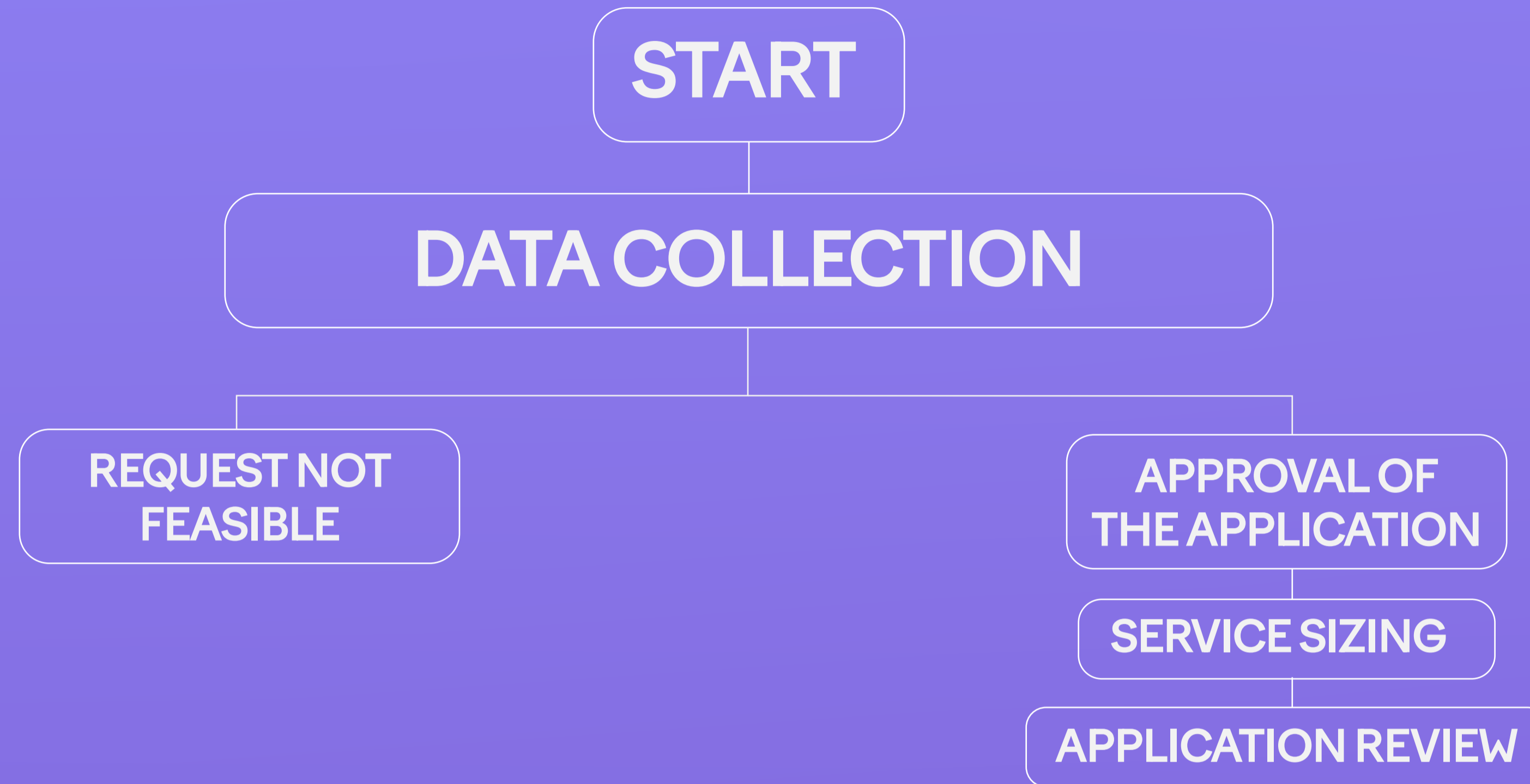
RENEWAL

Sub-processes 8 + 9

SURVEILLANCE

Sub-processes 10 + 11

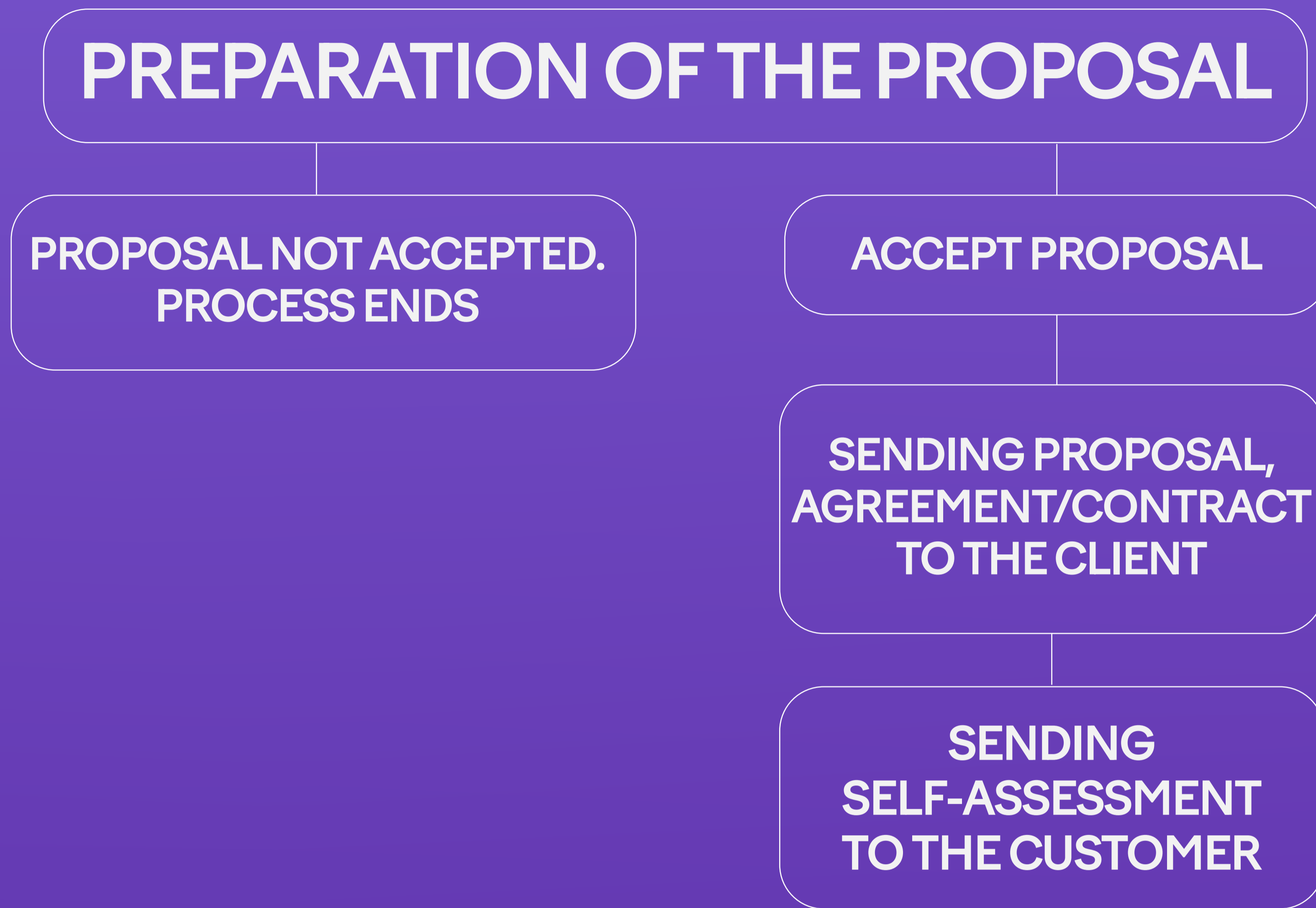
01 SUB-PROCESS 1: CERTIFICATION REQUEST



- THE CLIENT MAY REQUEST THE SERVICE DIRECTLY VIA ASCEND'S WEBSITE, PHONE OR EMAIL.
- THE COMMERCIAL TEAM ANALYZES THE REQUEST AND INFORMS THE CLIENT WHETHER THE SERVICE IS FEASIBLE OR NOT.
- THE PROCESS IS REVIEWED AND ADDITIONAL INFORMATION IS REQUESTED IF NECESSARY.



02 SUB-PROCESS 2: PROPOSAL DEVELOPMENT (AGREEMENT/CONTRACT)



- THE COMMERCIAL DEPARTMENT PREPARES THE PROPOSAL (AGREEMENT/CONTRACT) AND SENDS IT TO THE CLIENT ALONG WITH THE SERVICE CONDITIONS AND THE BRAND USAGE DOCUMENT.
- IF THE CLIENT DOES NOT ACCEPT THE PROPOSAL, THE PROCESS ENDS.
- IF THE CLIENT ACCEPTS THE PROPOSAL, A SELF-ASSESSMENT IS SENT.

RESPONSIBLE

COMMERCIAL TEAM

CLOSING SUB PROCESS 2

COMMERCIAL PROPOSAL

SELF-ASSESSMENT

03 SUBPROCESS 3: GENERAL EVALUATION COORDINATION

COORDINATION OF DATES WITH THE PARTIES INVOLVED.

EVALUATION TEAM AGREEMENT BETWEEN THE PARTIES

- THE EVALUATION TEAM IS DESIGNATED, CONSIDERING: ABSENCE OF CONFLICT OF INTEREST, AUDITOR'S CURRENT QUALIFICATIONS FOR THE SCHEME AND TECHNICAL AREA/CATEGORY RELEVANT TO THE ORGANIZATION, AND APPLICABLE LEGAL REGULATIONS.
- THE EVALUATION TEAM IS PRESENTED TO THE CLIENT FOR CONFIRMATION OF NO CONFLICT OF INTEREST.
- SPECIFICS OF THE SERVICE ARE AGREED UPON.

RESPONSIBLE

COORDINATOR

CIERRE SUB PROCESO 3

COORDINATED EVALUATION

EVALUATION TEAM FORMED

04 SUB-PROCESS 4: STAGE 1 COORDINATION

**SELF-ASSESSMENT ANALYSIS /
IDENTIFICATION OF PARTICULARITIES AND
SERVICE NEEDS**

**PREPARATION AND SUBMISSION OF
THE EVALUATION PLAN**

- THE EVALUATOR ANALYZES THE SERVICE SPECIFICS AND AGREES WITH THE CLIENT ON ANY PARTICULAR NEEDS.
- THE EVALUATOR PREPARES AND SENDS THE EVALUATION PLAN FOR CLIENT APPROVAL AND COORDINATION.

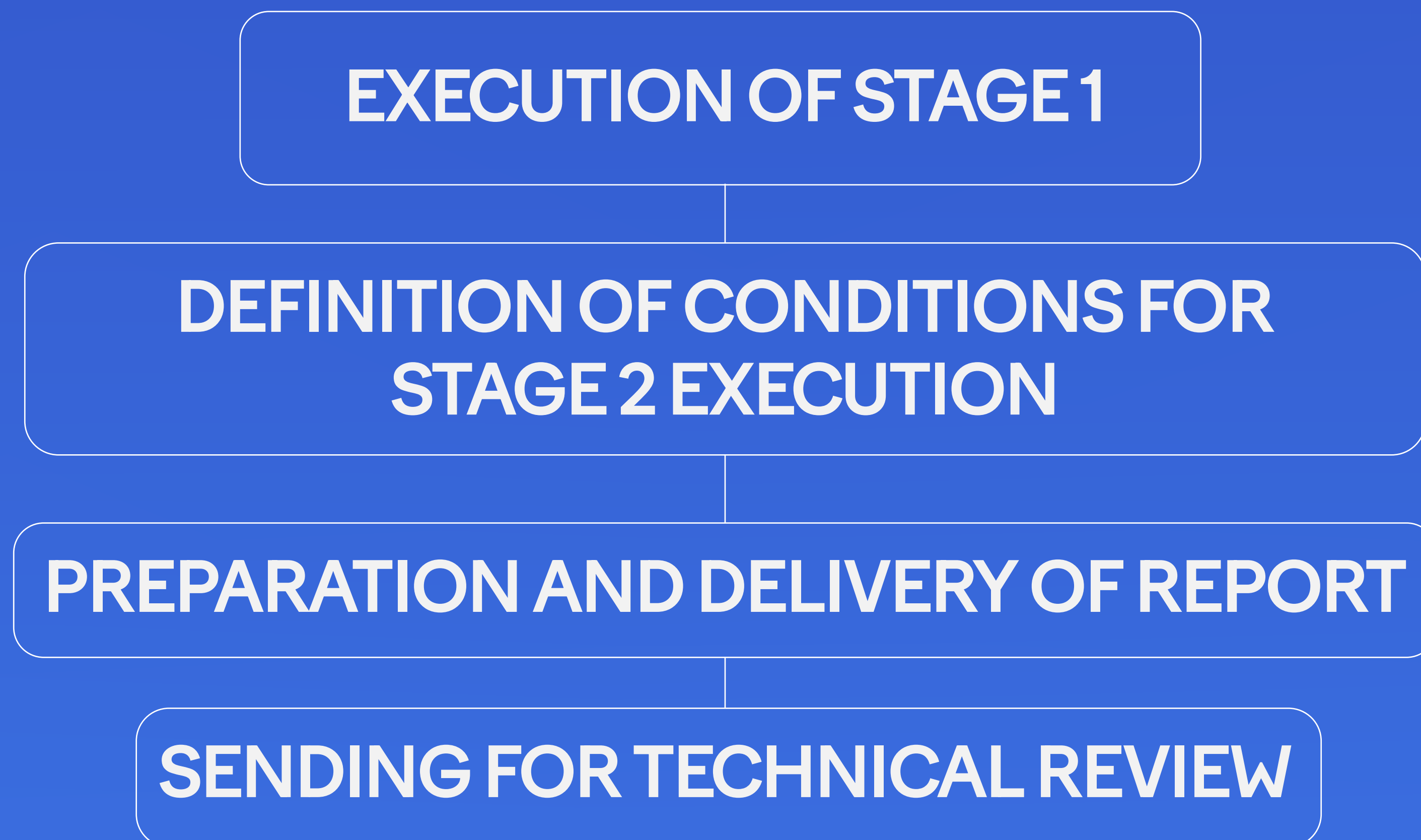
RESPONSIBLE

EVALUATOR

CLOSING SUB PROCESS 4

EVALUATION PLAN

05 SUB-PROCESS 5: EXECUTION OF STAGE 1



- THE EVALUATION IS CARRIED OUT ACCORDING TO THE AGREED AUDIT PLAN.
- UPON COMPLETION, THE EVALUATOR RECOMMENDS THE CLIENT'S READINESS FOR STAGE 2 AND DOCUMENTS THE AGREEMENT OR DISAGREEMENT WITH THE RECOMMENDATION.
- A STAGE 1 REPORT IS DELIVERED TO THE CLIENT.
- ALL DOCUMENTATION IS SENT FOR TECHNICAL REVIEW TO VALIDATE THE PROCESS AND MAKE NECESSARY ADJUSTMENTS (SCOPE, AUDIT TIME, TECHNICAL AREA/CATEGORY, ETC.).



06 SUB-PROCESS 6: STAGE 2 COORDINATION

**DETECTION OF PARTICULARITIES
AND SERVICE NEEDS.**

**PREPARATION AND SUBMISSION OF
THE EVALUATION PLAN**

- THE LEAD EVALUATOR PREPARES AND SENDS THE EVALUATION PLAN BASED ON STAGE 1 AGREEMENTS.
- THE EVALUATION TEAM IS VALIDATED AND APPROVED BY THE CLIENT, IF APPLICABLE.

RESPONSIBLE

EVALUATOR

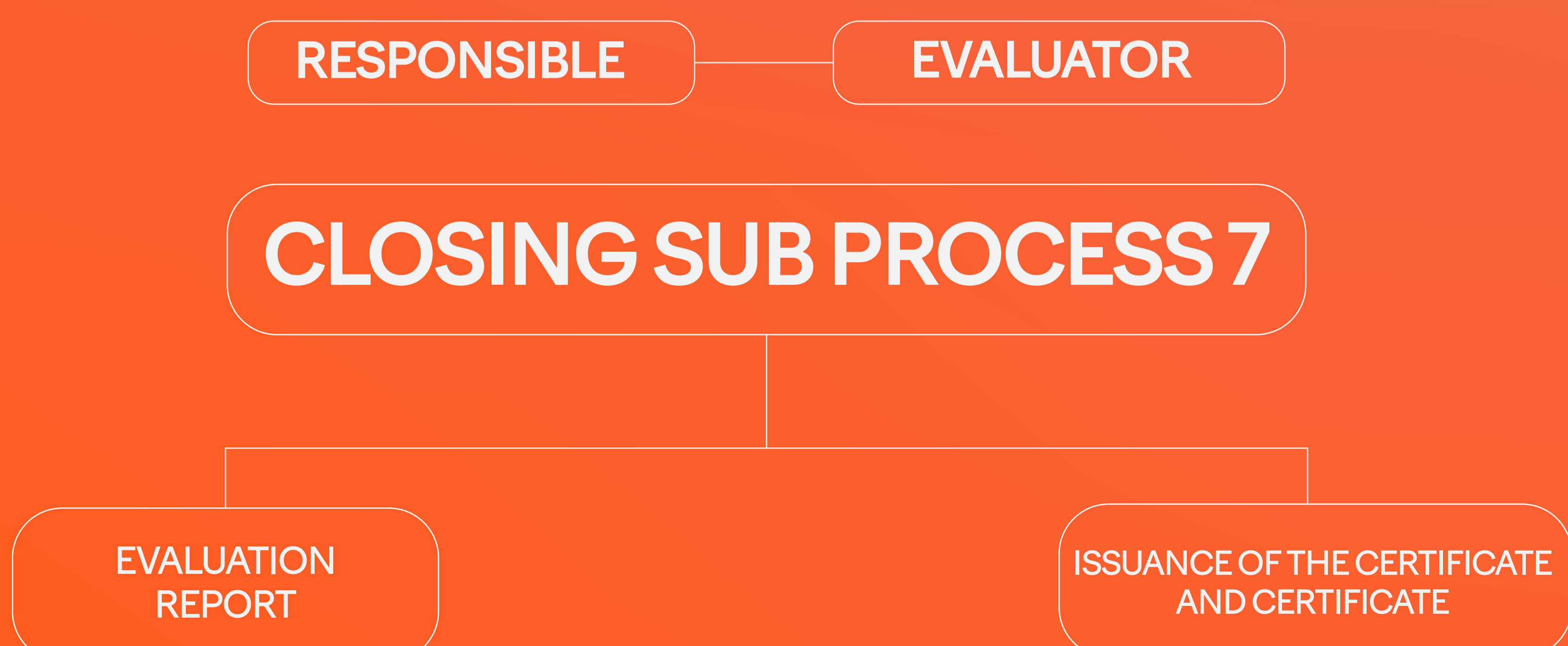
CLOSING SUB PROCESS 6

AUDIT PLAN

07 SUB-PROCESS 7: EXECUTION OF STAGE 2



- THE AUDITOR PERFORMS STAGE 2 EVALUATION.
- A PRELIMINARY REPORT IS DRAFTED AND SENT TO THE CLIENT. IF FINDINGS ARE IDENTIFIED, THE AUDITOR ASSESSES THE PROPOSED CORRECTIVE ACTIONS BASED ON THEIR TYPE.
- AFTER ADDRESSING FINDINGS, THE FINAL REPORT IS PREPARED AND A CERTIFICATION RECOMMENDATION IS ISSUED.
- ALL EVIDENCE IS SENT FOR TECHNICAL REVIEW.
- THE TECHNICAL REVIEWER MAKES THE CERTIFICATION DECISION. IF FAVORABLE, THE FULL-CYCLE AUDIT PROGRAM IS ESTABLISHED.



08

SUB-PROCESS 8: SURVEILLANCE AUDITS – COORDINATION

**PROGRAM REVIEW AND CONSULTATION
ON CHANGES/NEEDS**

INCORPORATION OF CHANGES

GENERAL COORDINATION

**PREPARATION AND SUBMISSION
OF THE EVALUATION PLAN**

- THE COORDINATION TEAM REVIEWS THE AUDIT PROGRAM.
- IF SIGNIFICANT CHANGES ARE DETECTED, A NEW PROPOSAL IS MADE.
- IF THERE ARE NO CHANGES OR ONLY MINOR ONES, THE EVALUATION IS COORDINATED.
- THE EVALUATION PLAN IS THEN PREPARED AND SENT.

RESPONSIBLE

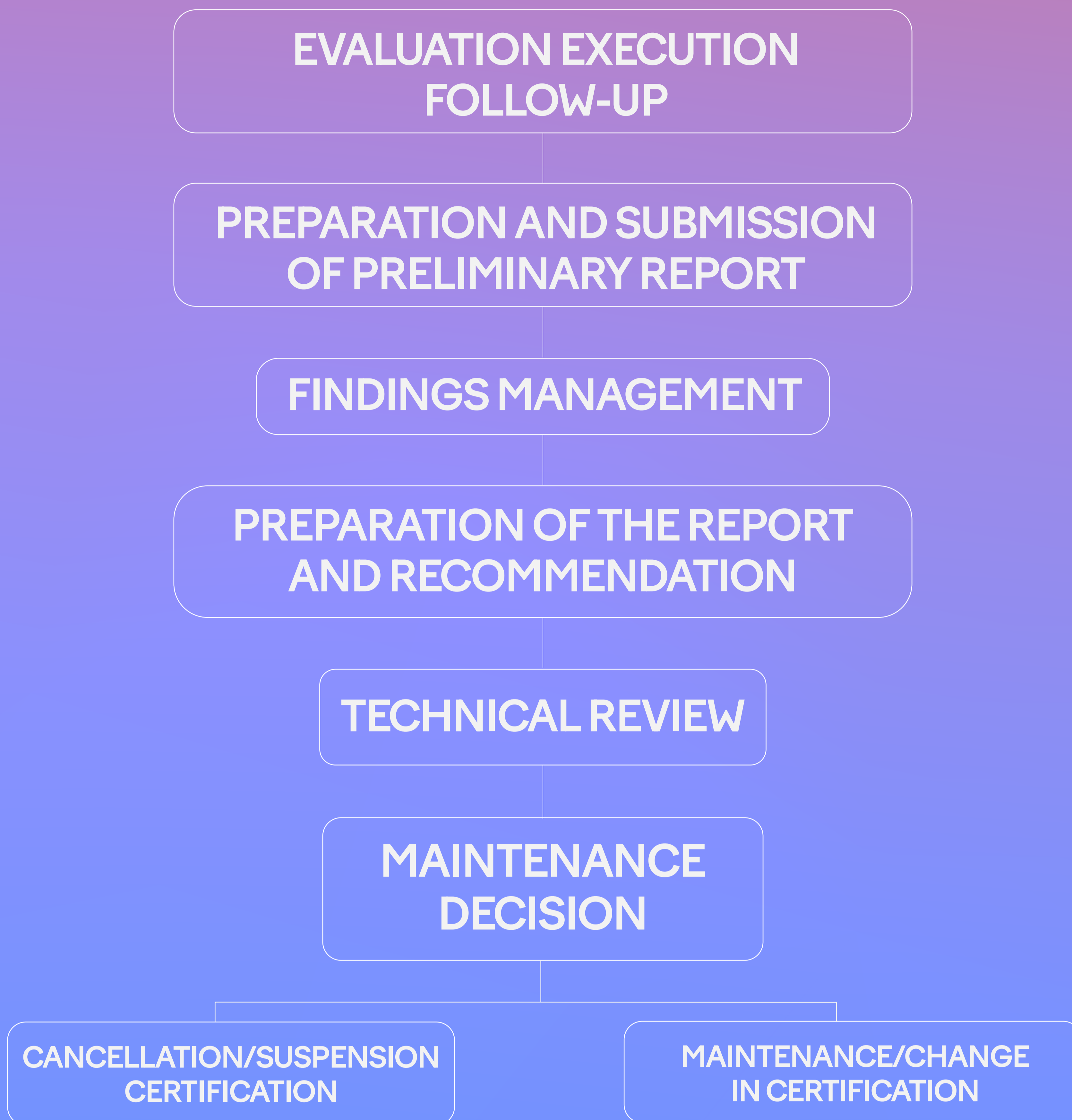
COORDINATOR

CLOSING SUB PROCESS 8

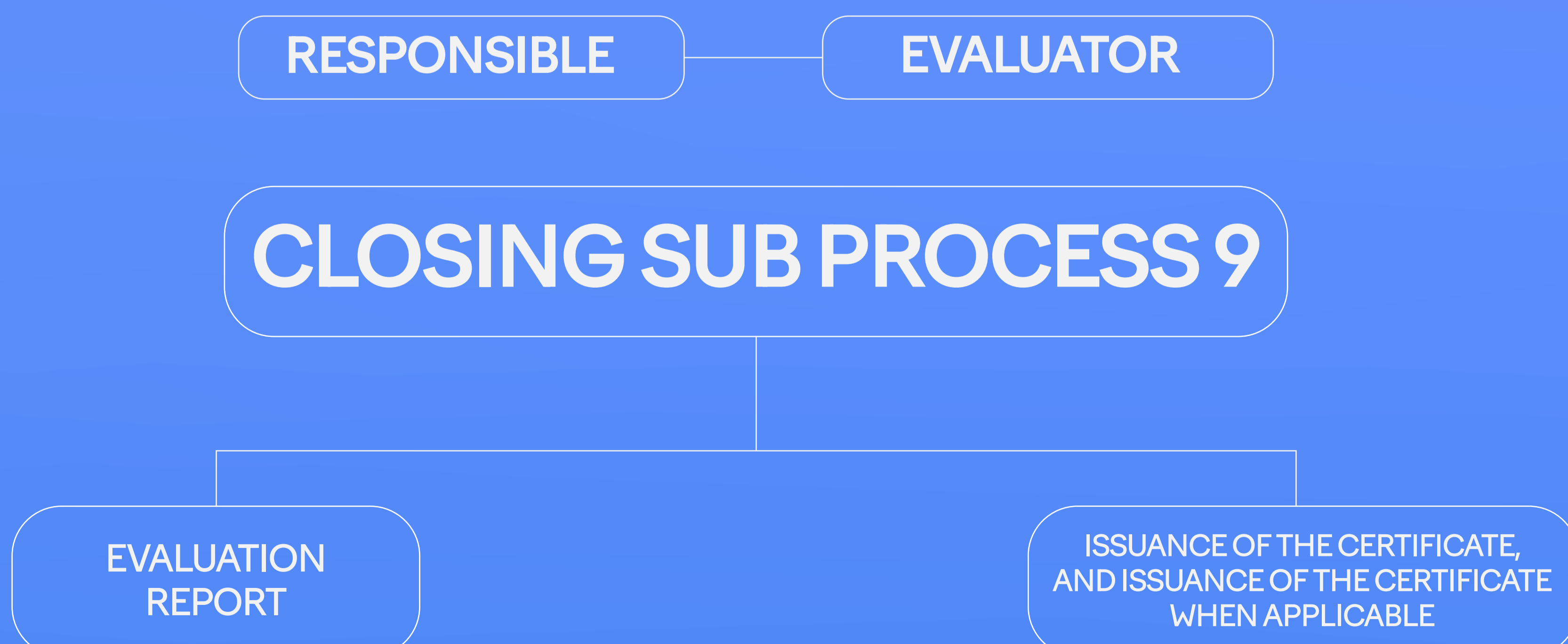
EVALUATION PLAN

09

SUB-PROCESS 9: SURVEILLANCE AUDITS – EXECUTION



- THE AUDITOR CARRIES OUT THE SURVEILLANCE EVALUATION.
- A PRELIMINARY REPORT IS SENT TO THE CLIENT.
- IF FINDINGS ARE DETECTED, THE EVALUATOR ASSESSES THE CLIENT'S RESPONSE.
- AFTER MANAGING FINDINGS, A FINAL REPORT AND RECOMMENDATION ARE PREPARED.
- ALL DOCUMENTATION IS SUBMITTED FOR TECHNICAL REVIEW.
- THE TECHNICAL REVIEWER MAKES THE DECISION ON CERTIFICATION MAINTENANCE AND UPDATES THE AUDIT CYCLE PROGRAM ACCORDINGLY.



10 SUB-PROCESS 10: RENEWAL AUDITS – COORDINATION

**PROGRAM REVIEW AND CONSULTATION
ON CHANGES/NEEDS**

INCORPORATION OF CHANGES

GENERAL COORDINATION

**PREPARATION AND SUBMISSION
OF THE EVALUATION PLAN**

- THE COORDINATION TEAM REVIEWS THE AUDIT PROGRAM.
- IF SIGNIFICANT CHANGES ARE IDENTIFIED, A NEW PROPOSAL IS MADE.
- IF THERE ARE NO CHANGES OR ONLY MINOR ONES, THE EVALUATION IS COORDINATED.
- THE EVALUATION PLAN IS PREPARED AND SENT.

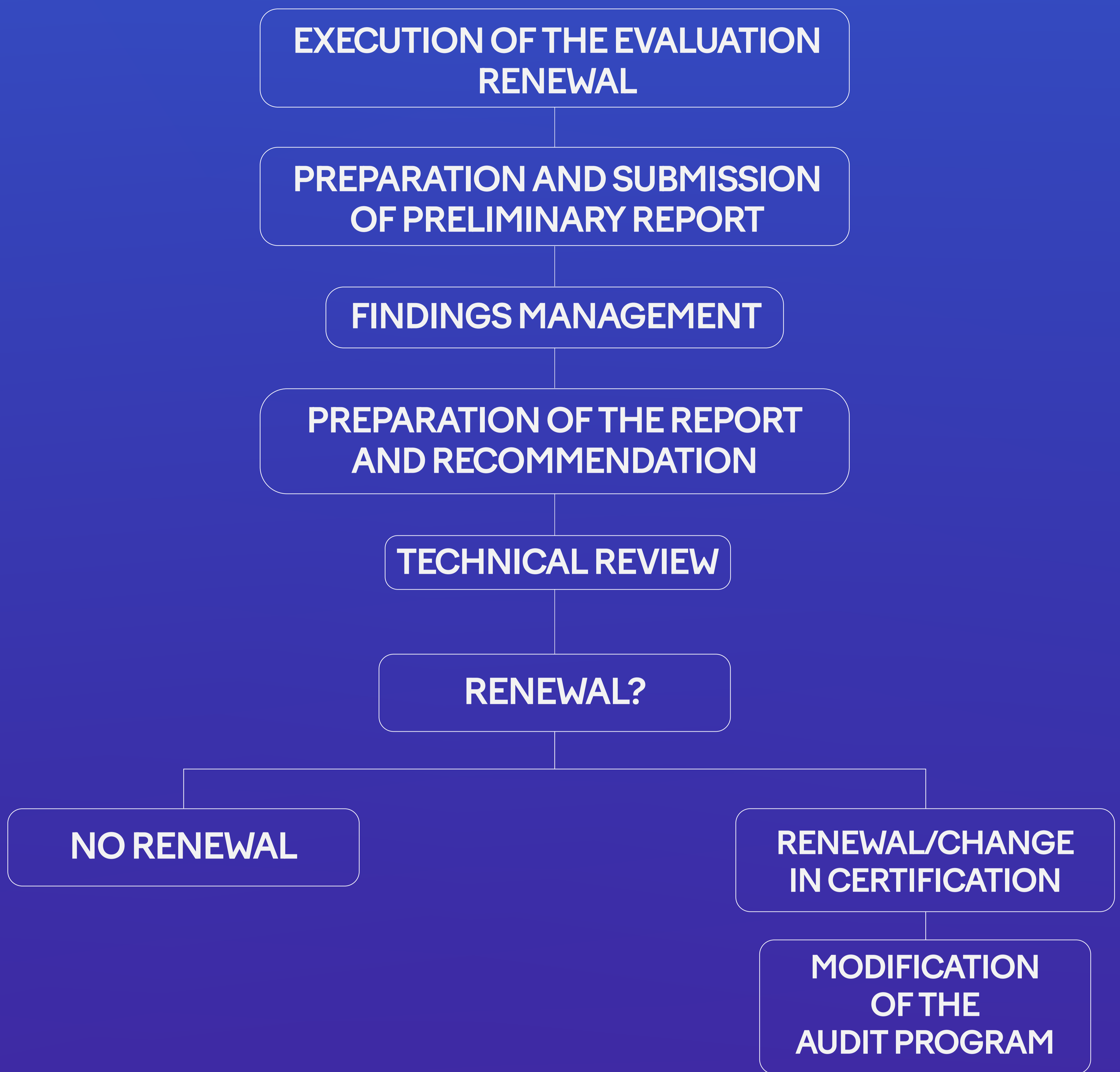
RESPONSIBLE

EVALUATOR

CLOSING SUB PROCESS 10

EVALUATION PLAN

11 SUB-PROCESS 11: RENEWAL AUDITS – EXECUTION



- THE RENEWAL EVALUATION IS CONDUCTED.
- A PRELIMINARY REPORT IS SENT TO THE CLIENT.
- IF FINDINGS ARE DETECTED, THE EVALUATOR REVIEWS THE CLIENT'S PROPOSED MANAGEMENT.
- AFTER MANAGING FINDINGS, THE FINAL REPORT IS CREATED AND THE RECOMMENDATION IS MADE.
- ALL DOCUMENTATION IS SENT FOR TECHNICAL REVIEW.
- THE REVIEWER MAKES A DECISION ON THE RENEWAL AND UPDATES THE AUDIT PROGRAM.

