

# COMPLAINT AND APPEALS HANDLING

A **complaint** is defined as one:

**"Notification of written disagreement against Global Inspection Services, or against an organization certified by Global Inspection Services, expressed by a client or interested third party.**

**Appeal** is defined as:

**"An appeal by a third party affected by a certification decision made by Global Inspection Services on the validity of a complaint to Global Inspection Services as ON (GIS ON) or to an organization certified by Global Inspection Services.**

Any customer or third party wishing to file a complaint or appeal must do so in writing. Written confirmation must be provided for telephone complaints.

Each complaint or appeal must be supported by written evidence from the issuer and will be forwarded to the address described below.

The procedure is not intended to limit or diminish the rights granted by law to the appellant.

All handling of the complaint is subject to the confidentiality requirements that govern all actions of Global Inspection Services, both with respect to the complainant and the subject matter of the complaint.

## 1. COMMUNICATION OF COMPLAINT or APPEAL

GIS makes available to customers or third parties the following channels for the communication of a complaint.

- Web: [www.ginspectionsservices.com](http://www.ginspectionsservices.com)
- E-mail: [info@ginspectionsservices.com](mailto:info@ginspectionsservices.com)
- Address: **Global Inspection Services, S.L. –(GIS).  
C/ Acanto, 22. Planta 3. Módulos 3-4. 28045 Madrid.  
+34 91 829 85 54.**
- Phone:

### 1.1 RECEIPT:

- 1.1.1 **COMPLAINT:** All GIS personnel who receive from a customer or third party a verbal communication of a complaint will request the complainant to send an e-mail or letter, to document their complaint, acknowledging receipt of such communication; judging whether there is a commercial, technical or service improvement risk, or any other, and will transmit it to their direct supervisor.
- 1.1.2 **APPEAL:** Whoever wishes to appeal a GIS decision shall do so in writing and shall be accompanied and supported by all available written evidence relating to the reasons for which he is appealing the certification decision.

### 1.2 VALIDATION:

- 1.2.1 **COMPLAINT:** GIS personnel who receive a complaint from a customer or third party in writing, either from the GIS ON customer or from another party involved, will first verify that the complaint is related to GIS ON's activities, and if so, will transmit it to their direct supervisor, who will immediately communicate it to the Technical Director of the Pressure Equipment Certification Department. Subsequently, the type of complaint will be evaluated for treatment
  - If the complaint is presented to a customer already certified by GIS ON, it will be transferred to the certified customer within a maximum of 7 days of receipt. GIS will consider the effectiveness of the management system of the certified client.
- 1.2.2 **APPEAL:** All appeals shall be registered by the Technical Director, who shall be responsible for sending an acknowledgement of receipt of the appeal and for contacting the appellant, informing him/her that the process of processing the appeal is initiated and the times and deadlines in which the appeal presented is expected to be resolved.

## 2. COMPLAINT HANDLING

If it is a problem that can be easily and immediately solved, either by mail, telephone or other ways of communication, it should be resolved as soon as possible.

If it cannot be solved immediately and an evaluation and treatment is needed to solve it, the responsible of the department is notified in order to try to correct the problem as soon as possible, who must open a report for control.

The detection, reception and communication of complaints is a duty and responsibility of all staff of GIS who once received the complaint transferred to the responsible for it, and failing that, to the head of department concerned for treatment.

If a report is opened, it must include: data on the complaint, investigation, decision on the actions to be taken to respond and to resolve them, follow-up, ensuring appropriate action, among other information.

In turn, the Quality Manager will be notified, assessing whether there is a need to open a Nonconformity for treatment due to non-compliance with service requirements, and follow the procedure.

The client's protest will be analyzed to decide its origin, completing it with all the necessary information and considering the version/opinion of the personnel involved on the facts referred by the client.

The analysis of the information will be carried between the Technical Director, the Manager PED and the Q Manager together with

the personnel involved. In any case, the person involved may intervene in the analysis, but not in the final decision.

Regarding the evaluation of any complaint, there are two different paths to follow:

- Not applicable:

This decision is noted on the duly justified complaint or grievance form and the client is informed in writing of the conclusion of the complaint presented, explaining the reasons or criteria that led to this decision. The complaint is then closed and properly filed.

If the client does not accept the arguments of the establishment, it will be the decision of the establishment to compromise its claims or not to do so.

- Applicable:

1. *Definition of actions to solve the problem*

The most appropriate actions to resolve the complaint or grievance are determined, documented and planned, coordinating the necessary activities.

2. *Communication to the client of the defined actions*

Once programmed, the client is informed about the proposed measures for the resolution of the complaint or claim, and the estimated time to undertake them.

3. *Execution of defined actions*

The data controller, who will be a person who has not participated in the preparation or development of the file from which the complaint is made (to avoid discriminatory actions), must document the circumstances that led to the complaint and investigate the possible causes, so that the actions taken to respond to the complaint can be decided.

4. *Notification of Customer of Execution of Actions*

The complainant is regularly informed of the treatment, status and outcome of the complaint, either by simple communication (e-mail, telephone) or by means of a follow-up report.

After the implementation of these actions, the customer is informed of their completion.

If the client is satisfied with the measures taken, the complaint or claim is closed (noting the date of resolution and attaching the documentation generated, if any) and filed as appropriate.

Otherwise, it will be necessary to analyze the reasons for their disagreement and, if they are legitimate, to design new actions for the resolution of the problem according to the procedure described.

### 3. HANDLING OF APPEALS

An appeal can be filed against GIS ON decisions such as:

1. *Refuse to accept an application for certification.*
2. *Refuse to recommend certification.*
3. *Suspension, withdrawal or cancellation of a certificate of approval.*
4. *Not accepting the field of activity proposed in the certification application.*
5. *Do not accept a non-conformity report.*
6. *Other similar situations.*

Upon receipt of the appeal, the Technical Director determines whether he or she has been involved in the process whose decision is being appealed. If so, he should appoint an independent third party and if not, he can conduct the research.

The next steps are:

- Investigate the reasons given in the appeal and review the associated files (offer/contract, reports, details cert. decision).
- Provide the appellant with the progress reports, with data from the investigation and communicate the date when the appeal will be dealt with by the Review Committee (Technical Director DEP and Manager DEP).
- The Review Committee will make the decision based on the appeal report.
- The outcome of the Review Committee's decision is communicated to the appellant.

The appellant is periodically informed of the treatment and status of the appeal, indicating the stage it is in and the estimated resolution period.

During the "Review Committee" meeting, the appellant and the GIS ON representative may request clarification of the documentary evidence provided or considerations that will be sent to the appellant for response.

The result of these clarifications shall be recorded in the minutes of the meeting. The Review Committee may seek the assistance of specialists, if necessary. Such specialists shall be independent of the appellant and Global Inspection Services.

The Committee must decide whether to accept or reject the appeal. Only in exceptional circumstances may it delay its decision.

The decision must be unanimous and cannot be appealed.

When, because of the appeal, GIS ON considers that there is a deviation in the Management System that justifies corrective action, it will act as established in the corresponding procedure NOT conformities.

### 4. DEADLINES

**COMPLAINT:** Normally, no more than four (4) weeks will elapse from the receipt of the complaint until its complete resolution, although it is understood that this period may be affected by the speed of response of the client and other third parties.

**APPEAL:** Global Inspection Services has a maximum of four (4) weeks to submit an appeal to the Review Committee from the date of receipt of the written submission. The Review Committee makes the decision within two (2) weeks of receipt of the appeal file.