AENOR

PROCEDURE FOR HANDLING COMPLAINTS, DISPUTES AND APPEALS RELATED TO A6.4 MECHANISM
02-PE-0910.00.IN

Contend

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REVISION	DATE	AMENDMENTS
00	2026-09-28	Initial adoption. This document reproduces paragraphs 10.1, 10.2, 10.3 of the document 02-IE-0912.00.IN

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1. COMPLAINTS HANDLING

A complaint is the formal (written) and/or informal (verbal) expressions of dissatisfaction regarding the performance of AENOR in relation to its A6.4 function(s), from any source, such as the A6.4 client's organization, the general public or its representatives, government bodies, NGOs, etc.

AENOR has made available a specific section in its website to make the procedure of sending complaints easier. It can be accessed in AENOR website in section "Certification-Environment" through the following link:

Certificaciones medioambientales - AENOR

At the bottom of the website, there is a section named "suggestions and complains forms" where the complaint can be described as well as the section "contact" to send any additional comments.

A6.4 PPs, general public or its representatives, government bodies, NGOs, etc. may send complaints through the following communication channels:

- e-mail address: aenorcambioclimatico@aenor.com,
- Address: AENOR, Génova 6, 28004 Madrid (Spain).

Verbal complaints shall be communicated to any person involved in the A6.4 activity. In this case the compliant will be requested to provide a written authorization in advance, using any of the channels mentioned above, for recording the conversation. Verbal and written complaints will be communicated to the A6.4 quality manager who may have received it.

The A6.4 quality manager and/or Tech. Coordinator will check the mailbox aenorcambioclimatico@aenor.com daily in order to identify any complaint that may has been received. The Technology Coordinator will assist the A6.4 quality manager in this task.

Any complaint that is received through these communication channels shall be acknowledged by the A6.4 quality manager in a period of ten working days according to the laboral calendar in Madrid. In the absence of the A6.4 quality manager, the Technology coordinator shall acknowledge its reception.

A reasoned answer shall be sent to the complainant within twenty working days, after the date of acknowledge of its reception, according to the following provisions.

Nevertheless, the complaint has a technical nature or not, it will be analysed by A6.4 quality manager and the Technology coordinator. If necessary, a team shall be appointed by A6.4 quality manager or the technology coordinator in order to gather and analyse all necessary information to answer and solve the complaint. Members appointed to handle the complaint shall be different from those who carried out the validation or verification/certification activities. Validators, verifiers, team leaders, the A6.4 quality manager and the technology coordinator may be part of the team that analyses the complaint.

The team will collect all the information necessary and will prepare a reasoned answer. The technology coordinator or the A6.4 quality manager will send the reasoned answer to the complainant The motives or causes will be analysed and it will be evaluated if the complaint is valid and related to work for which AENOR is responsible, as well as the actions to be taken.

If the result of the analysis is a non-compliance with the requirements, a corrective action related to the quality management system of AENOR shall be raised and managed by the A6.4 quality manager or the technology coordinator.

During the complete process the identity of the complainant and details of the complaint are to be kept confidential.

The Technology coordinator is responsible for monitoring the correct implementation of the actions taken and its effectiveness.

The Technical and Quality Department is the final responsible for the monitoring of the correct handling of complaints.

The records shall be kept by the Technical and Quality Department for 5 years.

The confidentiality of the complainant and the subject of the complaint shall be safeguarded during the whole process.

2. DISPUTES HANDLING

A dispute is defined as a disagreement between AENOR and the client regarding the AENOR's recommendation and/or opinions/decisions made at various stages during the validation and/or verification/certification functions.

AENOR has made available a specific section in its website to make the communication easier to send information about disputes, complaints. It can be accessed in AENOR website in section "Certification-Environment" through the following link:

Certificaciones medioambientales - AENOR

At the bottom of the website, there is a section named "suggestions and complains forms" where the complaint can be described as well as the section "contact" to send any additional comments.

PPs may send disputes through the following communication channels:

- e-mail address: aenorcambioclimatico@aenor.com,
- address: AENOR, Génova 6, 28004 Madrid (Spain).

The A6.4 quality manager and/or Tech. Coordinator will check the mailbox aenorcambioclimatico@aenor.com daily in order to identify any dispute that may has been received. The Technology Coordinator will assist the A6.4 quality manager in this task.

Any dispute will be communicated to the A6.4 quality manager by whom may have received it.

Any dispute shall be acknowledged by the A6.4 quality manager or the technology coordinator in a period of ten working days according to the laboral calendar in Madrid. In the absence of the A6.4 quality manager, the Technology coordinator shall acknowledge its reception.

A reasoned answer shall be sent to the disputant within twenty working days, after the date of acknowledge of its reception, according to the following provisions.

If necessary, a team shall be appointed by A6.4 quality manager in order to gather and analyse all necessary information to answer and solve the dispute. Members appointed to handle the dispute shall be different from those who carried out the validation or verification/certification activities. Validators, verifiers, team leaders, the A6.4 quality manager and the technology coordinator may be part of the team that analyses the dispute.

The team will collect all the information necessary and prepare a reasoned answer. The technology coordinator or the A6.4 quality manager will send the reasoned answer to the disputant. The motives or causes will be analysed and it will be evaluated if the dispute is valid and related to work for which AENOR is responsible, as well as the actions to be taken.

If the result of the analysis is a non-compliance with the requirements, a corrective action related to the quality management system of AENOR shall be raised and managed by the A6.4 quality manager or the technology coordinator.

The Technology coordinator is responsible for monitoring the correct implementation of the actions taken and its effectiveness.

The Technical and Quality Department is the final responsible for the monitoring of the correct handling of disputes.

The records shall be kept by the Technical and Quality Department for 5 years.

The confidentiality of disputes and the subject of the dispute shall be safeguarded during the whole process.

3. APPEALS HANDLING

An appeal is defined as follows: An A6.4 client organization's (A6.4 AP) request for a formal review of a decision made by a DOE in respect of its validation and/or verification/certification activities by an independent appeal panel.

AENOR has made available a specific section in its website to make the communication easier to send information about appeals. It can be accessed in AENOR website in section "Certification-Environment" through the following link:

Certificaciones medioambientales - AENOR

At the bottom of the website, there is a section named "suggestions and complains forms" where the complaint can be described as well as the section "contact" to send any additional comments.

APs may send appeals through the following communication channels:

- e-mail address: aenorcambioclimatico@aenor.com,
- address: AENOR, Génova 6, 28004 Madrid (Spain).

The A6.4 quality manager and/or Tech. Coordinator will check the mailbox aenorcambioclimatico@aenor.com daily in order to identify any appeal that may has been received.

Any communication related to appeals shall be acknowledged in a period of five working days by the A6.4 quality manager or the technology coordinator.

Any person involved in the A6.4 activities that receives a communication related to an appeal shall communicate it to the A6.4 quality manager and/or the technology coordinator and they will inform the Legal Department. They will assess the validity of the appeal. Subsequently it will be sent to the general manager and the Certification Commission by the Quality Manager, whose procedures are described on the Certification Commission General Rules.

The members of the Certification Commission are not involved in any A6.4 activity including taking decisions regarding validation and verification of A6.4 project activities, so they have no conflict of interest with the appeal in any way. In the case a member of the Committee has a conflict of interest with the appeal, he/she will not participate in the process.

The Certification Commission will gather all necessary information or will require it to the staff involved in validation/verification/certification work. The Commission has the right to hear the explanations from a witness and/or consult with external technical experts and/or take any measure and/or any actions, including arranging meetings as necessary to make right decision. The appellant shall be notified of the date of the meeting that will be held within 30 working days of the date of the appeal receipt.

Taking into account all the relevant information, the Certification Commission shall judge the appeal with fairness by using a simple majority rule voting process. The submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

If feasible, the appellant shall be informed about the progress on appeal investigation before the process is finished.

Once the Commission has taken a decision, it will notify the final decision to the appellant within 10 working days from the date of final decision.

The members of the Certification Commission shall hold in confidentiality all information generated during the appeal process related to the appellant's business/organization and the subject of the appeal.

In case the appellant is not satisfied with the decision of the Certification Commission, the A6.4 quality manager shall inform the appellant that it has an option of complaining to the Supervisory Body.

If the result of the analysis is a non-compliance with the requirements, a corrective action related to the quality management system of AENOR shall be raised by the A6.4 quality manager or the technology coordinator.

The records shall be kept by the Certification Commission for 5 years.