European compliance alliance	**EUROPEAN COMPLIANCE ALLIANCE SRL** Certification Body — ISO/IEC 17021-1:2015	**PR-QUE-01** Complaints Procedure
Section 11 — Appeals and Complaints	**ISO 17021-1 Clause: 9.9**	**v1.0 | July 2025**

1. PURPOSE AND SCOPE

Purpose	To describe how ECA receives, investigates and resolves complaints about its activities, its personnel or its service.
Reference clause	ISO/IEC 17021-1:2015 — Clause 9.9: The certification body shall have a documented process to manage complaints received from any interested party.
What is a complaint?	A complaint concerns the conduct, the quality of service or the behaviour of ECA or its personnel: poorly conducted audits, inappropriate treatment by an auditor, failure to meet committed deadlines, lack of response, misuse of confidential information, or any other dissatisfaction with ECA's service that is not a formal certification decision.
Difference from an appeal	A COMPLAINT challenges conduct or service. An APPEAL challenges a specific certification decision. If the complaint also involves challenging a decision, both procedures are processed in parallel.
Who may lodge a complaint?	Any interested party: current clients, former clients, clients of clients, regulatory authorities, or the general public.
Responsible person	General Manager: manages complaints and ensures independent investigation.

2. RECEPTION CHANNELS

Email	advisorlatam@csbglobal.org — Subject: 'Complaint — ECA — [Brief description]'
Web form	www.csbglobal.org (contact section)
Formal letter	Addressed to the General Manager — Calle Infantes N.º 4, San Lorenzo de El Escorial, 28200 Madrid, Spain
Anonymous complaints	ECA accepts anonymous complaints. Without contact information the ability to respond is limited, but they are investigated all the same if the facts are verifiable.
Acknowledgement deadline	5 working days from receipt of the complaint.
Resolution deadline	30 working days from the acknowledgement of receipt. If more time is required, the complainant is notified.

3. COMPLAINTS MANAGEMENT PROCESS

1	**Step 1: Receipt and registration** The General Manager receives the complaint, assigns it a unique number (QUE-[YEAR]-[NUMBER]) and sends an acknowledgement of receipt. The complaint is recorded in Section 5 of this document.
2	**Step 2: Classification of the complaint** The General Manager classifies the complaint according to its nature: (a) auditor conduct, (b) technical quality of an audit, (c) failure to meet deadlines or commitments, (d) breach of confidentiality, (e) misuse of the mark, (f) inappropriate treatment, (g) other. The classification determines who investigates.
3	**Step 3: Appointment of the investigator** The General Manager appoints the investigator: a person not involved in the facts. If the complaint involves the Technical Director: the General Manager investigates. If it involves the General Manager: the Impartiality Manager or a designated external person investigates.
4	**Step 4: Investigation** The investigator gathers information from all parties: the complainant (if known), the ECA personnel involved, and documentary evidence from the file. The investigation is objective and impartial.
5	**Step 5: Conclusion and corrective measures** The investigator concludes whether the complaint is: SUBSTANTIATED (the facts were verified), PARTIALLY SUBSTANTIATED, or UNSUBSTANTIATED. If it is substantiated: the General Manager determines and applies the necessary corrective measures.
6	**Step 6: Notification to the complainant** The General Manager notifies the complainant (if known) of the conclusion of the investigation and the measures adopted, to the extent that personnel confidentiality allows.
7	**Step 7: System improvement** If the complaint reveals a systemic weakness in ECA, the Technical Director opens an Internal Corrective Action (FOR-AC-01) to address the root cause.

4. CLASSIFICATION OF COMPLAINTS AND INVESTIGATION LEAD

Complaint type	Description	Designated investigator
Type A — Auditor conduct	Inappropriate behaviour, lack of professionalism or inappropriate treatment by a member of the audit team.	Technical Director (if not involved) or General Manager
Type B — Technical quality	Incorrectly classified findings, insufficient objective evidence in the report, or deficient audit process.	Technical Director
Type C — Deadlines and commitments	Failure to meet report delivery deadlines, lack of response to communications, or unfulfilled commitments.	General Manager

Complaint type	Description	Designated investigator
Type D — Confidentiality	Unauthorised disclosure of client information or improper access to files.	General Manager + Impartiality Manager
Type E — Misuse of mark	ECA certificate or mark used incorrectly by the body or by third parties with ECA's connivance.	General Manager
Type F — Decision process	Doubts about the independence of the Certification Decision-maker or the validity of the decision process.	Impartiality Manager (Oscar Díaz)

5. COMPLAINTS REGISTER

Complaint no.	Date	Complainant	Type	Investigator	Conclusion	Action taken	Closing date

6. VERSION CONTROL

Version	Date	Prepared by	Description
1.0	16 July 2025	EUROPEAN COMPLIANCE ALLIANCE S.R.L.	Initial creation of the Complaints Procedure. 7 steps, 6 types of complaint with investigation lead.
Update in the event of regulatory or process changes.			

7. APPROVAL

Prepared by:	Approved by:
EUROPEAN COMPLIANCE ALLIANCE S.R.L. Date: 16 July 2025	**Sergio Pinzón** Technical Director Date: 16 July 2025