

# Guideline

## Guide to addressing community complaints and suggestions

### Introduction

Responding in a timely manner to claims or complaints will allow Orbia to properly manage its relations with its social environment, and thus produce a positive impact on its reputation.

### Purpose

This document is intended to provide guidance on the definition of the methodology utilized to address and follow up on complaints and/or suggestions filed by people or organizations residing close to the Orbia operation sites, as well as the parties responsible for these activities.

### Scope

This Guide applies to all Orbia operation sites.

### Definitions

**Community:** Means a group of people and institutions that live and/or work in the geographical areas in which the company has its operations.

**Complaint:** Means a tool that allows us to learn about the concerns expressed by our stakeholders about a situation related to the company's behavior that they believe affects their rights.

**Suggestions:** Mean recommendations made to improve behavior, as a useful tool that the company can utilize as an early warning system.

### Responsible Parties and Communication Channels Utilized to File Complaints And Suggestions

Each operations site must appoint a local community relations manager and establish the communication channels that the neighboring people and organizations can utilize to file their complaints and suggestions. Although this person does not necessarily execute the specific actions, she or he is responsible for their follow up. Exhibit 1 of this document offers some examples of the channels that can be used to this end.

Exhibit 2 proposes a **Complaints and Suggestions Customer Service Form** that contains five sections utilized to provide the relevant documentation. It is important to appoint a person responsible for documenting and processing each section of this form.

## Activities and Responsible Parties

<b>Local Community Relations Manager (LCRM)</b>	<p>Ensures the identification and establishment of the channels utilized to address the community's complaints and suggestions approved by the Site Manager or Director. The LCRM also ensures that the internal leaders and communities are familiar with these channels and how they work.</p> <hr/> <p>Identifies the origin of the complaint or suggestion within no more than three business days after its reception.</p> <hr/> <p>Documents the complaints and/or suggestions with the Form provided in Exhibit 2, filling out the information requested in sections 2, 3, and 4.</p> <p>If it is determined that the complaint and/or suggestion is inadmissible, the LCRM is responsible for drafting the letter and informing the stakeholder of said reasons.</p> <p>If it is determined that the complaint and/or suggestion does apply, the reasons should also be written out (see Exhibit 2, section 2).</p> <hr/> <p>Notifies the Site Manager or Director of the receipt of the complaint and/or suggestion.</p> <hr/> <p>Follows up on the work plan of the person responsible for addressing and responding to the complaint. In the case of a suggestion, make sure that the person who made the suggestion is thanked.</p> <hr/> <p>Presents the response to the stakeholder, after obtaining the approval of the answer from the Site Director or Manager, and from the regional Social Responsibility Manager.</p> <hr/> <p>Reports the progress of the plan to the LCRM or the Site Manager or Director.</p> <hr/> <p>Reports the complaints and suggestions response indicators once a year.</p>
<b>Site Manager or Director</b>	<p>Appoints the Local Community Relations Manager and informs the internal leaders and communities of the appointment.</p> <hr/> <p>Analyzes and decides, together with the LCRM, if the complaint and/or suggestion is admissible or not.</p> <hr/> <p>Selects and assigns the person who will investigate the causes and follow up on the request.</p>
<b>Party responsible for following up on the complaint and/or suggestion</b> (when it is someone other than the LCRM).	<p>Determined the response times and reviews the suggested work plan to investigate and address the root causes of the complaints.</p>

## Main Indicators Utilized to Follow Up on Complaints and Suggestions

The LCRM must report the following indicators each semester to the Site Manager or Director and the Regional

### Social Responsibility Manager:

Indicator	Description and Method of Obtention
The number of complaints received, disaggregated by media, and level of origin	The number of complaints received in the six-month period that applies is presented. They are itemized according to the medium by which they were received and the level of origin of each of them.
Response time	Determined the response times and reviews the suggested work plan to investigate and address the root causes of the complaints.
Status of complaints filed and admissible	The status of the work plans of all admissible complaints presented during the period.

## Exhibits

### Exhibit 1.

Examples of the complaints and suggestions reception channels

All Orbia operations must establish the appropriate communication channels to gather the necessary and sufficient information to process a complaint and/or suggestion.

Following are examples of the communication channels that can be used to this end.

- Face-to-face channels especially for rural areas, through the Receptionist or the person appointed to this end, and by placing a mailbox in the main entrance or reception.
- Email address for receiving complaints and/or suggestions: in non-rural areas
  - An email address is provided per region. This must always be conveyed and visible.

We recommend hanging a poster on the outside of the facilities to ensure its visibility for passers-by; the poster should be written in the official language of the region. Example of text that can be utilized for the different options:

If you wish to express a complaint or suggestion related to the operations of the company, you can do so through the following means:

- Directly in these facilities where we can guide you by providing a form that you can fill out and drop in the mailbox to obtain the required response.
- By calling the Customer Response line at (telephone number).
- By writing to [Email address]. Sincerely yours,

**Note:** It is important to sign this information as Orbia unless local regulations establish the need to use the entity or company's legal name as text and without the logo.

## Exhibit 2. Complaints and Suggestions

### Complaints and suggestions response form

#### Section 1.

This section may be filled out by the local community relations manager or directly by the person filing the complaint and/or offering a suggestion.

Receipt of the complaint or suggestion

Reception date:

The complaint or suggestion is received:

<input type="checkbox"/>	On-Site	<input type="checkbox"/>	By phone	<input type="checkbox"/>	Other _____
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**Important:** Ask the person if they want to be contacted as a follow-up to their request and to remind them that they can read our privacy policy at [www.orbia.com](http://www.orbia.com) about the protection of the privacy of their data.

Name and surname

Place of residence

Method by which the person prefers to be contacted

<input type="checkbox"/>	By phone	<input type="checkbox"/>	By email	<input type="checkbox"/>	In a closed letter (which can be collected at the Security office)
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Telephone number (with address) and/or by email:

Name of the person allegedly impacted (person, group or organization), if they agree to be identified:

#### Description of the fact

A detailed description of the facts that led the person to express the complaint or suggestion

Approximate date of when the event occurred:

Had the event occurred before?

Place where the events occurred:

Detailed description of the events, including those involved:

Exhibits: Physical or testimonial evidence of the situation.

**Receipt of the complaint.** To be processed by the Orbia employee who receives the form:

Receipt of the complaint. To be processed by the Orbia employee who receives the form:

<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
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Name of the person receiving the form:

**Section 2.**  
**The Local Community Relations Manager must enter the information required by this form, which must be verified by the Site Manager or Director.**

The complaint or suggestion is:

<input type="checkbox"/>	Accepted	<input type="checkbox"/>	Rejected
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The complaint or suggestion is of the following nature:

<input type="checkbox"/>	Nonexistent	<input type="checkbox"/>	Minor	<input type="checkbox"/>	Serios	<input type="checkbox"/>	Severe
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Name

Position

The period of time to report the progress made on this complaint or suggestion is:

<input type="checkbox"/>	Weekly	<input type="checkbox"/>	Monthly	<input type="checkbox"/>	Quarterly	<input type="checkbox"/>	Semiannual
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Does the complaint or suggestion involve any of the following aspects? Select all that apply.

<input type="checkbox"/>	Discrimination or the violation of a Human Right
<input type="checkbox"/>	Child labor
<input type="checkbox"/>	Corruption or bribery
<input type="checkbox"/>	Environmental issues
<input type="checkbox"/>	Problems with the community
<input type="checkbox"/>	Other

**Section 3.**

**This section must be processed by the person appointed as responsible for the investigation and follow-up of the complaint or suggestion.**

Each time a complaint or suggestion is received, we will have up to three business days to determine the degree of origin of the same, involving the Site Manager or Director and the Local Head of Community Relations. There are three levels that can be utilized to determine the acceptance or rejection of the application:

1. The complaint or suggestion is inadmissible. When it is determined that the cause of the complaint or suggestion is outside of the Orbia operations or control.
2. The complaint or suggestion is admissible. When it is determined that the complaint or suggestion is caused directly or indirectly by the Orbia operations or by one of its vendors.
3. It is not clear if the complaint or suggestion is admissible or not. When it is impossible to determine if the cause of the complaint or suggestion falls outside of the Orbia operations or control. In all cases, the level of origin must be noted with the reason justifying the decision with a brief summary. In the third case, the recommendation consists of including a third objective to help resolve the situation.

Date and time the form is received

Name of the person receiving the form

**Investigation**

Describe the root causes of the complaint or suggestion and attach the support documentation:

Parties involved in the event. Select all that apply.

<input type="checkbox"/>	Caused by Orbia operations	<input type="checkbox"/>	Caused by a Orbia contractor	<input type="checkbox"/>	Caused by a Orbia vendor	<input type="checkbox"/>	Caused by an unrelated third party
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Orbia Departments involved in the event:

The probability that the event will reoccur if corrective actions are not taken.

	In less than a year	Within five years	Within 10 years	Within 50 years	After 50 years
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The investigation confirms that the complaint or suggestion is:

	Admissible		Inadmissible
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**Section 4.**

**This section must be processed by the person appointed as responsible for the investigation and follow-up of the complaint or suggestion.**

**Corrective actions**

Describe the proposed corrective actions to address the root cause of the complaint or suggestion. More rows can be added if necessary.

	Proposed corrective actions		Deadline
1)			
2)			
3)			
4)			

Record the resources required to execute the corrective actions. The list of actions must match the number in the table above.

Corrective action	Necessary economic resources	Staff involved from other departments
1)		
2)		
3)		
4)		

Date on which the follow-up to the complaint or suggestion is successfully closed:

**SECTION 5**

**The company documents the response, which must be approved by the Site Director regardless of who fills out this section.**

Use the following box to write the formal answer given to the person who filed the complaint or suggestion or attach the corresponding document. The Local Community Relations Manager must enter the information in this form, which must be verified by the Site Manager or Director.