



| MPROC2.7 Complaints & Appeals | |
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| Scope | Specify the procedure for dealing with complaints & appeals |
| Responsible Person(s) | Managing Director, General Manager, Analysts, Measured Entity |
| Related Policies | MPOL9, MPOL17, MPOL18 |
| Documents | MF30_Complaint, Appeal & Information Request, MF31_Complaints, Appeals, and Information Requests Register |

Definitions:

Complaints: A formal complaint from a measured entity against the verification agency, regarding the manner in which any aspect of the verification has been dealt with.

Appeals: A difference between the score a measured entity feels it is entitled to, based on the information provided prior to verification, and the score awarded the measured entity by the verification manager.

Information Requests: A request for information regarding the verification process or supporting documentation substantiating a score, from the measured entity or a 3rd party unrelated to the verification, but reliant upon the certificate provided.

Complaints & Appeals:

All Complaints and Appeals Should be resolved within 30 days of receipt. The measured entity completes the Complaint, Appeal & Information Request form, providing details of the request and submits it to Moore Stephens, no later than 5 business days from issue of the certificate.

The request is forwarded to the Administrator, as an independent & impartial party, whom shall review the request and assign a competent person responsible for the investigation. The administrator is to peruse the MF20_Client Register in order to ensure the selection of an independent, impartial investigator.

The impartial Administrator shall acknowledge receipt of the request, and send a signed acknowledgement letter to the client.

The Complaints, Appeals, and Information Requests Register is updated by the impartial Administrator. The assignment date of the investigation is to be recorded as well as the assigned investigator details.

An independent person with no prior dealings with the entity in question and whom did not form part of the verification process is required to be appointed when investigating all Complaints and Appeal by the impartial Administrator by completing the Assignment of Investigator section of the MF30_Complaint, Appeal & Information Request document.



The person assigned to investigate the request:

- Reviews the request, and the information supporting the request.
- Reviews the circumstances giving rise to the complaint, or the reason for the dispute on the score in the case of an appeal, and documents his findings in the Outcome of investigation section of the MF30_Complaint, Appeal & Information Request document.
- He/she completes and documents a root cause analysis to determine the cause of the action giving rise to the request.
- The investigator makes a decision on the corrective action required, documents this as well as implements the corrective action, if applicable, ensuring to keep all supporting proof.

The MF31_Complaints, Appeals, and Information Requests Register is to be updated by the investigator throughout the investigation, clearly marking the dates and actions in the “Detail of request & Action taken” section. This is done to ensure that the progress/status on an investigation can be deduced at any point in time.

The person assigned to investigate forwards the Outcome of Investigation section of the MF30_Complaint, Appeal & Information Request document to the client and obtains confirmation of acceptance from the client, This shall signify the closure of the appeals / complaints procedure.

The person responsible for conducting the investigation is to file all completed documentation pertaining to the investigation in the complaints & Appeals folder.