

	Management Process Policy and Procedure Policy Number: MAN08	POLICY TITLE: APPEALS	DOCUMENT CONTROL: V01R080424
COMPILED BY: N MATHEN	APPROVED BY: C NAIDOO	REVISION DATE: APR 2024	REVIEW DATE: FEB 2026

POLICY STATEMENT

It is a policy of Transformex that the clients of Transformex may appeal any decision or action of the verification agent which significantly impacts their scores.

Appeals are to be made through the completion of the appeals form available on the Transformex website.

Where appeals are governed by or via articles or conditions of a collective agreement, that forum shall be deemed to have precedence, and the appeals process described herein will not be applicable.

Rationale

Transformex recognises and respects the fact that clients may sometimes disagree with the verification decisions and actions of the verification agent.

Transformex recognises that the spirit and intent, the principles of natural justice and due process dictate that people should have a right of appeal when decisions or actions are made that impact significantly upon them.

This policy sets out the specific parameters around an appeals process to govern Transformex operations.

PROCEDURE

1. PURPOSE

The purpose of this procedure is to outline how client appeals on verifications are investigated and resolved.

2. SCOPE

The scope of the procedure includes:

- ❖ Procedure for Lodging appeals
- ❖ Procedure for recording appeals
- ❖ Procedure for investigating appeals
- ❖ Process for Ensuring Corrective Action is Taken timeously
- ❖ Process for evaluating corrective action
- ❖ Process for making the procedure publicly available
- ❖ Process for Record Keeping

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3. RESPONSIBILITY AND AUTHORITY

Verification Manager, Verification co-ordinator

4. REFERENCES

R47-03

5. CLIENT APPEALS PROCEDURE

What is the Appeals form

- ❖ The appeals form is the document to be completed by the client and investigated by the verification co-ordinator, when the client does not accept the verified and reviewed final certificate provided by Transformex to the client.
- ❖ The appeals form is found on the Transformex Website under policies and procedures and a copy is also provided to the client when the final verification certificate is sent to the client.

When to complete the appeals form

An appeals form is completed when a client is dissatisfied with the verification score awarded

- ❖ The client must contact the verification coordinator using the appeals form (MAN08-A) regarding dissatisfaction with any portion of the verification score.
- ❖ If the client does not use form MAN08-A to appeal the score, the appeals form will be provided.
- ❖ Complete the appeals form providing a detailed account of disagreement with the overall score provided as well as with each element of the scorecard.
- ❖ The appellant must **ensure that the appeal is lodged within 5 working** days of receiving the final verification certificate. If the client does not reply within 5 working days, the verification is deemed to be accepted by the client any formal or informal appeals after this period will not be considered.

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The Transformex Appeals Procedure

For the client:

- ❖ Send the completed and signed appeals form to the verification co-ordinator of Transformex with a detailed explanation of the scores appealed and the reasons why the score is being appealed.
- ❖ The verification co-ordinator will perform the initial investigation of the appeals form and communicate with the client any outstanding information to ensure a smooth process is carried out.
- ❖ The verification co-ordinator will then forward the appeal form to the manager, who will engage an external party to carry out the investigation in terms of the validity of the appeal.
- ❖ The external party will be competent in verification procedures, verification audits and review of verification audits
 - Appeals have two outcomes
 - The fault is due to internal errors by the verification analyst and reviewer and/or technical signatory
 - The fault is due to the client not providing information during the verification process
- ❖ The external party employed by Transformex will investigate the appeal and determine the validity of the appeal (that is whether the fault lies internally with Transformex or with the client).
- ❖ When making the decision the external party will have access to all communication between the client and the analyst, and reviewer to ensure that the decision made is correct and may contact the client to determine the sequence of events or for clarification.
- ❖ The decision of the external party is final.
- ❖ Once the decision is made the external party will complete the investigation report and forward this to the manager.
- ❖ The manager will inform the VC to communicate to the client the outcome of the appeal.
- ❖ The results of this investigation from the external party will be final.
- ❖ The time frame for the appeals decision by the external party is 14 working days from receipt of the appeal from the client.

❖ Outcome of the appeal

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❖ **Fault lies with the client**

- ❖ If the external party deems that the client did not provide information within the given time frames of the Transformex verification process, the final certificate of the client that was provided will remain.
- ❖ Should the client have new information that they would like verified, this will be at an extra charge and the normal verification procedures will follow and a new certificate will be issued (2nd issue), once the first issue is withdrawn.
- ❖ The cost will be determined between the manager of Transformex and the client authority.

❖ **Fault lies with Transformex**

- ❖ Should the decision of the external party be that the Transformex verification team has erred in the verification and review of the client score, the following process will apply:
 - The client will be informed of the decision to reverify along with the process to be taken and the client must sign off on the verification personnel to be used in the verification.
 - To avoid impartiality, the verification documents will be verified by the technical signatory not involved in the initial verification process.
 - The normal verification process (including impartiality and confidentiality) will be followed and a second issue certificate will be awarded to the client, once the initial verification certificate has been withdrawn.
 - The need for a site visit will be determined upon investigation.
 - The client file provided by the client will be used to reverify the client score.
 - The time frame for the re-verification is 15 working days.
 - The decision on the appealed verification will be final.
 - Once the verification is complete, a new certificate will be awarded to the client.
 - Should the client wish to provide new information during the re-verification, this will be for the client's cost and will be determined by the manager.

The Transformex appeals procedure is based on the following:

- ❖ Openness and collaboration in the procedure

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- ❖ Fair representation in an investigation
- ❖ Impartiality in review and investigation of appeal
- ❖ Non-discrimination in any form to the appellant