



Grant Thornton Verification Services - Complaints, Appeals and Information requests

The following is an extract from our policy relating to Complaints, Appeals and information requests (CAI)

PROCESS: VKP2.6 – COMPLAINTS, APPEALS AND INFORMATION REQUESTS (CAI)	
OBJECTIVE	Specify the procedure for dealing with complaints, appeals, information requests
SCOPE	Resolution of all complaints and appeals, and provision of information on specific verifications to 3 rd parties
RESPONSIBLE PERSON(S)	Technical Signatory / Regional Manager / Analyst / Managing Director / Person assigned to investigate / Measured Entity / Client Relationship Manager
MEASUREMENT CRITERIA	Successfully resolved complaints and appeals; and controlled release of confidential information.

Activity	Responsible Person	Records / Docs
<p><u>Definitions:</u> 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 technical signatory. Information Requests: A request for information regarding the verification process or supporting documentation substantiation a score, from the measured entity or a 3rd party unrelated to the verification, but reliant upon the certificate provided.</p>		
<u>Complaints and Appeals</u>		
<u>All Complaints and Appeals Should be resolved within 30 days of receipt.</u>		
The measured entity completes the Complaint, Appeal & Information Request form (CAI), providing details of the request and submits to Grant Thornton Verification Services via email at bee@za.gt.com		Complaint, Appeals, Information Requests

The analyst/manager/technical signatory who receives the form forwards the request to the Managing Director for review and assignment of the person responsible for investigation.	Analyst	Complaint, Appeals, Information Requests
The Managing Director obtains signatures from the relevant persons in the "OFFICE USE ONLY" section, acknowledges receipt, and sends a signed acknowledgement to the client.	Managing Director	Complaint, Appeals, Information Requests
The Complaints, Appeals, and Information Requests Register is updated	Managing Director	Register
<p>The Managing Director reviews the request and determines if an independent person is necessary to conduct the investigation.</p> <p>An independent person is necessary:</p> <ul style="list-style-type: none"> • For All Appeals; and • Complaints <p>Information requests and queries do not require independence.</p> <p>An independent person is one who:</p> <ul style="list-style-type: none"> • Was not involved in the verification; or • Verification review • Has not had relevant prior dealings with the measured entity initiating the request. 	Managing Director	Complaint, Appeals, Information Requests
The person assigned to investigate the request acknowledges receipt of the request by signing the Investigation and Implementation Section of the request.	Person assigned to investigate	Complaint, Appeals, Information Requests
<p>The person assigned to investigate the request:</p> <ul style="list-style-type: none"> • 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 Details of Investigation & Root Cause Analysis section of the request. • Completes and documents a root cause analysis to determine the cause of the action giving rise to the request. • Makes a recommendation for Corrective Action 	Person assigned to investigate	Complaint, Appeals, Information Requests
The person assigned to investigate the request forwards their findings and recommendation to the Managing Director who authorizes the implementation of the corrective action.	Person assigned to investigate	Complaint, Appeals, Information Requests
The register is updated	Managing Director	Register
The person assigned to investigate implements the corrective action and provides feedback to the measured entity on the Report and Acknowledgement section of the request.	Person assigned to investigate	Complaint, Appeals, Information Requests

The person assigned to investigate forwards the Report and Acknowledgement to the client and obtains confirmation of acceptance from the client.	Person assigned to investigate	Complaint, Appeals, Information Requests
The person assigned to investigate forwards the completed document to managing director for filing in the Complaints and Appeals file. This is saved electronically.	Person assigned to investigate MD	
The register is updated	Person assigned to investigate	Register
Information Requests		
<u>All Information requests should be resolved within 30 days of receipt.</u>		
The interested party completes the Complaint, Appeal & Information Request form, providing details of the request and submits to the relevant Grant Thornton Verification Services office.		Complaint, Appeals, Information Requests
The Analyst at the Grant Thornton Office forwards the request to the Managing Director/.	Analyst	Complaint, Appeals, Information Requests
The Managing Director/ updates the register	Managing Director	Register
The Managing Director/ obtains signatures from the relevant persons in the "OFFICE USE ONLY" section, acknowledges receipt himself and, sends a signed acknowledgement by fax to the client.	Managing Director	Complaint, Appeals, Information Requests
The Managing Director/ Indicates whether permission must be obtained from the measured entity for disclosure of the information.	Managing Director	
The Managing Director assigns a person to provide the information to the initiator, deemed "Person assigned to investigate" in terms of the form.	Managing Director	
The Person assigned to investigate obtains permission from the measured entity to disclose the information, if required.	Person assigned to investigate	
The Person assigned to investigate provides the information to the initiator, details the information provided in the Reports and Acknowledgement section of the request, and obtains acceptance from the initiator.	Person assigned to investigate	
Permission to disclose confidential information is attached to the request.	Person assigned to investigate	
The request is forwarded to MD for filing purposes. This is filed electronically.	Person assigned to investigate	
The Person assigned to investigate updates the register	Person assigned to investigate	Register