

## DISPUTE AND APPEAL PROCESS

Document #: GOP208

Release Date: 18-MAR-2022

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Document Owner: Director – Internal Auditing

Approver: VP - TM&Q

### This process only applies to disputes and appeals related to Business Assurance activities

#### Purpose

To describe the process for receiving, evaluating, and making decisions on disputes and/or appeals.

#### Scope

This process is to be used to process a dispute on a nonconformity(ies) or a certification decision, including suspension, withdrawal and/or scope reduction of a certification audit result. It also applies in the case of clients who are not satisfied with the results of the dispute process and wish to appeal the decision. All disputes and appeals received will be processed through the Complaints, Disputes & Appeals log

#### Responsibilities

- Technical Manager: In the case where the contracting office is an accredited Business Unit (or Hub), the Technical Manager is responsible for the application of the process
- BA General Manager: In the case where the contracting office is an unaccredited business unit, the tasks assigned below to the Technical manager are assigned to the BA General Manager
- Global Account Manager: In the case of disputes/appeals related to global accounts, the Global Account Manager shall work with the Technical Manager or BA General Manager to the resolution of the dispute/appeal
- Mailbox Administrator: To identify who should receive the dispute/appeal (per “Process Description” below) and forwarded it to the appropriate individual within 2 business days

#### Definitions

Dispute: A difference in interpretation of a requirement which justifies formal documentation for further evaluation.

Appeal: A formal request for reconsideration of any dispute decision.

Designated investigator: Competent personnel who was not involved with the audit and/or decision making process related to the dispute

Competent personnel (as per GOP211-5) is an individual with approved competency to take decisions (such certification decisions, withdrawals, suspensions, restoring certifications) in the scheme/standard/set of standards the dispute or appeal is raised for

#### Notes

- Submission, investigation and decision on disputes and appeals shall not result in any discriminatory actions against the client filing the appeal and/or the dispute.
- If the dispute or appeal does not relate to Business Assurance activities, Business Assurance personnel should do its best to identify the party the dispute or appeal should be addressed by and then notify the person filing the appeal or dispute that the dispute or appeal has been received and forwarded to the





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appropriate Intertek business unit. Such disputes/appeals are not to be recorded in the Complaints, Disputes & Appeals log.

- This process does not apply in the case of disputes/appeals related to financial/commercial matters. Nevertheless, in such cases, the issue is to be directed to the Business Unit BA General Manager

**Input:** Disputes or appeal received from clients

**Output:** Investigation result

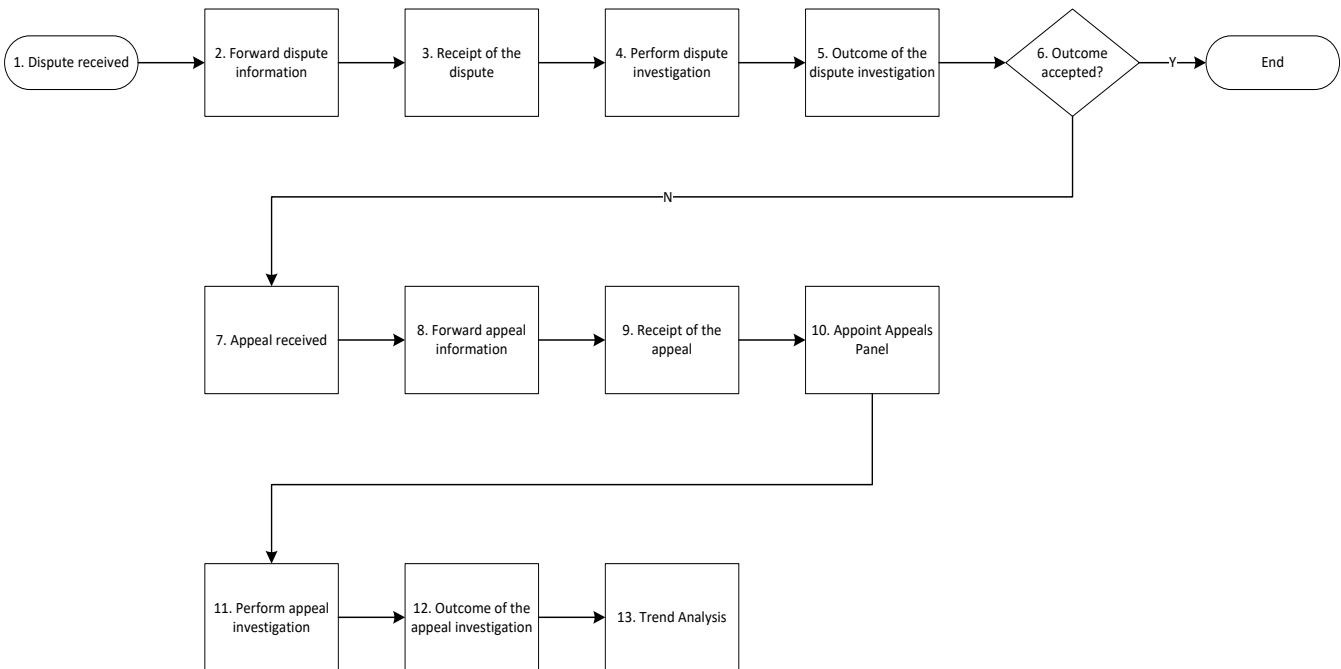
**KPIs:**

- Forward dispute/appeal to the appropriate person within 2 business days
- Technical Manager acknowledge receipt of dispute/appeal within 10 business days
- Outcome sent to the client within 30 working days.

**Complaints, Disputes & Appeals log URL:**

<https://intertek.sharepoint.com/sites/BA/ISAudit/Lists/Complaint%20Disputes%20%20Appeals%20Log/AllItems.aspx>

**Process Flow:**



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	Action	By Whom	Related Docs	Comment
	<b>Dispute and Appeal Process</b>			
1	Dispute received	Mailbox Administrator, Local Office	Email, letter GOP208-INFO	<p>A client shall, within 30 days of the decision, submit a dispute in writing to Intertek by Email at: disputes.appeals.ba@intertek.com or regular mail directly to the local office.</p> <p>Dispute received verbally will not be accepted.</p>
2	Forward dispute information	Mailbox Administrator, Local Office		<p>Forward to the appropriate Technical Manager and/or appropriate Certification Authority designee of the Intertek Certification Body responsible for the issue of the related certification (this information is available in iEnable) within 2 business days. The mailbox administrator must confirm that the dispute information was received by the Technical Manager or Cert Authority through an e-mail read receipt or other means prior to considering this step as completed.</p> <p>In the case of a Global account, the Technical Manager shall work with the Global Account Manager throughout the dispute process.</p>
3	Receipt of the dispute	Technical Manager	Complaints, Disputes and Appeals Log Correspondence	<p>Upload dispute into the Complaints, Disputes and Appeals Log.</p> <p>Acknowledge and respond to the person sending Dispute within 10 days. A copy of this acknowledgement shall be uploaded into the Complaints, Disputes and Appeals Log SharePoint as an evidence of acknowledgement. (see Note 1 below)</p>



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4	Perform dispute investigation	Technical Manager (see Note 2 below)		<p>Investigate or assign the task of investigating the dispute to a designated investigator who has not been previously involved with the subject of the dispute.</p> <p>Review of the client’s documented dispute, related reports, and consultation with the audit team members as well as with the client’s management.</p> <p>The one responsible for investigating the dispute has to investigate, validate, and document the resolution of the dispute. Judgment must be based on facts and evidence provided.</p> <p>If necessary provide the client with progress reports.</p>
5	Outcome of the dispute investigation	Technical Manager	E-mail Complaints, Disputes and Appeals Log	<p>Inform the client of the result of the investigation within 30 days and of the right to appeal the decision in writing within 30days.</p> <p>Document the decision related to the outcome into the Complaints, Disputes and Appeals Log.</p> <p>Perform an analysis of the cause of the dispute and determine if any correction and/or corrective action is needed.</p> <p>If any correction, corrective and/or preventive action is required, it shall be processed in accordance with GOP210 sections 1.0 and 2.0.</p>
6	Outcome accepted	Technical Manager	Complaints, Disputes and Appeals Log.	Close the dispute in the Complaints, Disputes and Appeals Log.
7	Appeal received	Mailbox Administrator, Local Office	Correspondence	A client shall, within 30 days of the dispute decision, submit an appeal in writing to Intertek by Email at:



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				disputes.appeals.ba@intertek.com or regular mail directly to the local office.
8	Forward appeal information	Mailbox Administrator, Local Office		<p>Forward to the appropriate Technical Manager and/or appropriate Certification Authority designee of the Intertek Certification Body responsible for the issue of the related certification (this information is available in iEnable) within 2 business days. The mailbox administrator must confirm that the appeal information was received by the Technical Manager or Cert Authority through an e-mail read receipt or other means prior to considering this step as completed.</p> <p>In the case of a Global account, the Technical Manager shall work with the Global Account Manager throughout the appeal process.</p>
9	Receipt of the appeal	Technical Manager	Complaints, Disputes and Appeals Log Correspondence	<p>Upload appeal into the Complaints, Disputes and Appeals Log.</p> <p>Acknowledge and respond to the person sending Dispute within 10 days. A copy of this acknowledgement shall be uploaded into the Complaints, Disputes and Appeals Log SharePoint as an evidence of acknowledgement. (see Note 1 below)</p>
10	Appoint Appeals Panel	Intertek management		Appeal to be processed by a Panel of three (3) members appointed by Intertek's management. (See note 2)
11	Perform appeal investigation	Appeal's Panel / Technical Manager		<p>The Panel is responsible for investigating, validating, and documenting the resolution of the appeal.</p> <p>Members of the Appeal's Panel will make judgment based on facts and evidence provided.</p> <p>The Appeal's Panel may elect to hear oral testimony from both parties.</p> <p>If necessary provide the client with progress reports.</p>



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12	Outcome of the appeal investigation	Technical Manager	Correspondence Complaints, Disputes and Appeals Log	<p>Inform the client of the result of the investigation and the outcome of the panel within 30 days.</p> <p>The decision shall be the final decision of Intertek. Document the decision related to the outcome into the Complaints, Disputes and Appeals Log.</p> <p>Perform an analysis of the cause of the appeal and determine if any correction and/or corrective action is needed.</p> <p>If any correction, corrective and/or preventive action is required, it shall be processed in accordance with GOP210 sections 1.0 and 2.0.</p>
13	Trend Analysis	Director – Internal Auditing	Analysis report	<p>Perform trend analysis quarterly</p> <p>Summary submitted to the Regional Certification Managers and the Global Vice President – Technical Management &amp; Quality</p>

### Notes:

1. Unless a decision is forwarded to the client within ten days of receipt of the dispute or appeal.
2. The personnel engaged in the appeals-handling process are different from those that carried out the audits, made the certification decisions, or were involved in the processing of the related dispute.

### Records

All records relative to Disputes/Appeals shall be entered into the Complaints, Disputes & Appeals log and maintained per GOP202 - Records Control Process.

## REVISION LOG

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GT001-P / Rev. 5



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Revision #	Description of Change	Release Date
7	Additional instruction added due to a finding from the internal audit.	01-MAR-2018
8	Complaints, Disputes & Appeals log URL amended	06-MAR-2020