

Verification Special Evaluation Policies and Procedures

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Introduction:

This policy details the conditions under which special evaluations procedures to be followed in response to when approving and conducting special evaluations, to clearly and establish the responsibility and authority for planning and approval of special evaluations.

Policy Statement:

Requests for Special Evaluations may be considered in response to:

1. The result of MOORE internal audit procedures and findings to address any corrective actions required or to clear any non-conformity;
2. Short notice of evaluation for verification, where the ME wants MOORE to complete the verification in the shortest time possible and;
3. from a complaint or appeal with regard to a verification decision that needs to be investigated.

Procedures:

Requests for a Special Evaluation must be made in writing and directed to the Managing Director of MOORE. The request must contain the ME name and reasons requiring the Special Evaluation.

1. Special Evaluations as a result of Internal Audit or Corrective Actions

If a Special Evaluation is required due to corrective action by MOORE the procedure will be that the MD will ensure that the Special Evaluation team members are independent from the original verification team.

The MD will exercise additional care in the team selection as the ME does not have an opportunity to object. The MD will review the MS152 - Available Technical Resources form/ WIP Tracker (but not limited to) to ensure that the team members have been deemed competent in the area(s) being evaluated. The MD will then ensure that written confirmation is emailed a minimum of 2 days in advance of the Special Evaluation to the authorized representative of the ME containing the following:

- Details of the area(s) requiring a Special Evaluation;
- Reason for the Special Evaluation;
- Timeframes;
- Cost and Payment responsibility of the Special Evaluation will be borne by the requesting party unless otherwise agreed by the ME;
- The dates on which the Special Evaluation is going to take place; and
- Names and backgrounds of the verification team conducting the Special Evaluation (the team members may be the same as per the original verification, provided there were no undue findings and provided they have the required technical capabilities and competencies;
- The ME must agree to the publishing of revised findings/ score;
- MS118 - Confirmation of Acceptance, to be signed by the client.

The Special Evaluation Team will then communicate to the ME MS113 –Verification Plan, via email, fax or mail.

The verification procedures for the Special Evaluation will be followed as per MSPol13. The onsite audit will examine the element detailed under the Special Evaluation.

If the Special Evaluation is being carried out in response to a complaint or appeal, then the complainant and appellant will be asked to send a request to the MD by completing form MS122 – Appeals form.

The certificate is amended following procedures MSPol16 however the original expiry date is retained.

The Special Evaluation Report is attached to the Measured Enterprise’s folder. The new score is published to the requesting party and the DTI informed.

2. Special Evaluation as a result of short notice

If the Special Evaluation is of the result of short notice and required before the normal timeline as documented in MSPol13 then a request for Special Evaluation is required from the ME. The request will detail:

- Elements to be verified for the Special Evaluation
- Reason for Special Evaluation
- Deadline for Certificate to be issued

The MD will review the request to see that the Special Evaluation does not firstly conflict or in any way have any detrimental effect on any current clients verifications, as well as review the MS152 - Available Technical Resources form/ WIP Tracker (but not limited to) to ensure that the team members have a been deemed competent in the area(s) being evaluated and there are sufficient available, exercise additional care in the team selection as the ME does not have an opportunity to object. Should the MD accept the request for Special Evaluation the MD will send email/fax confirmation a minimum of 24hr from acceptance of the Special Evaluation to the authorized representative of the ME containing the following:

- Details of the area(s) requiring a Special Evaluation;
- Reason for the Special Evaluation;
- Timeframes;
- Cost and Payment responsibility of the Special Evaluation will be borne by the by the ME;
- The dates on which the Special Evaluation is going to take place; and
- Names and backgrounds of the verification team conducting the Special Evaluation (team members selected based on availability, technical capabilities and competencies);
- MS118 - Confirmation of Acceptance, to be signed by the client

The Special Evaluation Team will then communicate to the ME MS113 –Verification Plan, via email, fax or mail.

The verification procedures for the Special Evaluation will be followed as per MSPol13. The onsite audit will examine the element detailed under the Special Evaluation.

Certificate will be issued as per policy MSPol16

3. Special Evaluation as a result of a complaint or appeal

If the Special Evaluation is a result of a complaint or appeal the MD will exercise additional care in the team selection by ensuring that the original verification team members are not selected so that the ME does not have an opportunity to object. The MD will follow the procedure in MSPol13 when selecting the verification team and review the MS152 - Available Technical Resources form / WIP Tracker (but not limited to) to ensure that the team members have been deemed competent in the area(s) being evaluated.

The MD will send written confirmation a minimum of 2 days in advance of the Special Evaluation or Re-Evaluation to the authorized representative of the ME containing the following:

- Details of the area(s) requiring a Special Evaluation;
- Reason for the Special Evaluation;
- Timeframes;
- Cost and Payment responsibility of the Special Evaluation or Re-Evaluation will be borne by the requesting party unless otherwise agreed by the ME;
- The dates on which the Special Evaluation is going to take place; and
- Names and backgrounds of the verification team conducting the Special Evaluation (team members may be the same provided the appeal or complaint has not requested their exclusion from the team);
- The ME must agree to the publishing of revised findings/ score to the requesting party;
- MS118 - Confirmation of Acceptance, to be signed by the client

The Special Evaluation Verification Team will then communicate to the ME MS113 –Verification Plan, via email, fax or mail.

The verification procedures for the Special Evaluation will be followed as per MSPol13. The onsite audit will examine the element(s) detailed under the Special Evaluation.

The certificate is amended following procedures MSPol16 however the original expiry date is retained.

The Special Evaluation Report is attached to the Measured Enterprise's folder.

The new score is published to the requesting party and the DTI informed.

Related Policies, Procedures and Forms:

MSPol12 - HR Policies & Procedures

MSPol13 - Verification Engagement Policy & Procedure Manual

MSPol10 - Control of Record Policy & Procedures

MS113 – Verification Plan

MS118 - Confirmation of Acceptance

MS152 - Available Technical Resources / WIP Tracker