APPEALS AND COMPLAINTS

SCOPE

This procedure covers all documentation as produced during the normal activities by the agency.

PURPOSE

The purpose of this procedure is to ensure that all appeals and complaints are resolved within a certain time and according to specific procedures in line with the requirements of the R47-03. The purpose is also to ensure that proper record is kept of all complaints and appeals.

RESPONSIBILITY AND AUTHORITY

It is applicable to all staff members and the Committees.

REFERENCES

- R47-03 Clause 19 and 20
- MAN012
- MAN012 F01 Appeals and Complaints Register
- MAN012 F02 Complaints, Appeals and Disputes Form (CAD)
- MAN014 P01 Corrective Action
- CORE001 F03 Quote & Terms and Conditions

APPEAL PROCEDURE

1. Should the Measured Entity dispute the results on the Verification Report and Certificate they have 7 working days to appeal to the results.
2. The appeal must be addressed to the Administrator of Moore BEE in writing by using the Complaints, Appeals and Disputes Form (CAD) (MAN012 F02).
3. The Administrator shall forward the appeal to the Verification Manager who will appoint a Verification Analyst who is independent from the particular verification within 2 working days from receiving the appeal to handle it.
4. The Verification Manager shall complete the appeals and complaints register (MAN012 F01) and assign an independent analyst to handle the appeal by completing the CAD form (MAN012 F02). The CAD reference number will be assigned by following a chronological numbering system starting at CAD001.
5. The Assigned Person will send the client an acknowledgement of receipt and then proceed to investigate the appeal.
6. If the appeal was not lodged within the prescribed 7 working days of receiving the Report, Scorecard and Certificate the Assigned person shall send a finding report to the Measured Entity indicating that the appeal was not successful because the timeframes were not met. In the event that the Verification Manager has approved the appeal to be deviated from the standard 7 workings days' time frame, the deviation from this time frame has to be documented on the Diary form of the measured entity.
7. The Assigned Person then must investigate the merits and background of the appeal. Should the appeal be based on the grounds of new information submitted by the Measured Entity, the Assigned person will indicate in the findings report that there are no grounds for appeal as this was new information.

8. The Assigned person must resolve the appeal within 30 days of it being assigned to that person.
9. Should the Assigned Person, after investigating the appeal find that there were calculation errors or that the incorrect score was given, the Assigned person will inform the Verification Manager of the findings and the Verification Manager will inform the Administrator to re-open the file and allocate the file to the Assigned Person. After the corrections have been made and reviewed by the Verification Manager, the Administrator will send a corrected verification Report, Scorecard, and Certificate to the Measured Entity.
10. The Assigned Person shall note actions taken on the CAD form (MAN012 F02) and the Verification Manager shall sign off on the effectiveness of the actions and make notes on the CAD form (MAN012 F02). The effectiveness of the actions will be measured by reviewing the re-issued certificate and report for correctness and completeness.
11. The Verification Manager shall raise a Non-Conformance regarding the calculation errors or incorrect score given to the client. This shall be done as per the Corrective Action procedure (MAN014 P01).
12. The Process for appeals shall be stipulated in the CORE001 F03 Quote & Terms and Conditions which will be signed by the Measured Entity before the BEE process commences.
13. Any information sent to or received from the Measured Entity related to the appeal shall be filed in the Measured Entity electronic file and any communication or decisions taken with regards to the appeal shall be noted in the diary section of the Measured Entity electronic file.

COMPLAINT PROCEDURE

1. Should the Measured Entity not be satisfied with the behavior/conduct of any personnel involved in the verification process, they have the right to lodge a complaint or should a 3rd party not be satisfied with any aspect of the verification agencies process and methodology.
2. The complaint must be lodged within 10 days of the incident which was the result of the complaint by completing the CAD form (MAN012 F02) and submitting the form to the Administrator.
3. The Administrator will send the CAD form (MAN012 F02) to the Verification Manager where the Verification Manager shall assign an independent person who was not involved in the incident from which the complaint originated within 2 working days.
4. The Assigned Person will send the client an acknowledgement of receipt and then proceed to investigate the complaint.
5. The Assigned Person must resolve the complaint within 10 days of it being assigned to that person by completing the CAD form (MAN012 F02).
6. The complaint must be investigated and the seriousness of the behaviour/conduct which was the result of the complaint or the substance of the 3rd party complaint must be considered. Should it be found by the investigator that there was negligence involved or there was substance to the complaint, disciplinary action or corrective action must be considered.
7. Any information sent to or received from the Measured Entity related to the complaint shall be filed in the Measured Entity electronic file and any communication or decisions taken with regards to the complaint shall be noted in the electronic CAD form (MAN012 F02).

MAINTENANCE

Disclosure:

The appeals and complaints procedure are required to be made publically available, therefore it is the duty of the verification manager to ensure that the appeals and complaints procedure is available on the company's website. Should the company, at any time, amend their website or obtain a new website, it is the duty of the verification manger to ensure that the appeals and complaints procedure is always updated and available on the website. The Internal audit report (MAN013 F02), which serves as an audit plan, shall specifically include a verification of compliance with the disclosure of the appeals and complaints procedure under section 19 &20.

RECORDS

- MAN012 F01 Appeals and Complaints Register
- MAN012 F02 Complaints, Appeals and Disputes Form (CAD)
- MAN013 F02 Internal Audit report
- CORE001 F03 Quote & Terms and Conditions
- CORE002 F01 Diary Form