



Document Number:	MAN12P1	Version:	004
Title:	APPEALS AND COMPLAINTS	Date:	4 SEPT 2017
Compiler:	C Swart	Approved:	BM Nel

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 R47-02. The purpose is also to ensure that proper record is kept of all complaints and appeals.

RESPONSIBILITY AND AUTHORITY

All personnel involved in the verification process as delegated by the respective committees

REFERENCES

- R47-02 Clause 19 and 20
- MAN12
- MAN12P1F1 Appeals and Complaints Register
- MAN5P1F1 Service Level Agreement

PROCEDURES

Definitions:

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 to the measured entity by the Verification Manager.

Information Requests:

A request for information regarding the verification process or supporting documentation substantiating a score, from the measured entity or a 3rd party unrelated to the verification, but reliant upon the certificate provided.

Complaints and Appeals

1. FinX BEE (Pty) Ltd shall ensure that there is a copy of the Complaints & Appeals process available on the FinX BEE (Pty) Ltd website at all times.
2. All Complaints and Appeals Should be resolved within **30 days** of receipt.
3. The measured entity should email the complaint, appeal or information request to the Administrator or Technical Signatory.
4. The Technical Signatory will send an email to the measured entity acknowledging the receipt.
5. The Technical Signatory forwards the request to the appeals & complaints committee for review and investigation.
6. The Verification Manager updates the Complaints, Appeals, and Information Requests Register
7. The Complaints and Appeals committee review the request and determines if an independent person within the organisation is necessary to conduct the investigation. Should this be an appeal on the rating, the Technical Signatory that signed off on the BEE Certificate will not be independent and the case will be referred to the **nominated independent Technical Signatory** within the organisation.



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8. An independent person is necessary for All Appeals and Complaints
9. Information requests and queries do not require independence.
10. An independent person is one who:
 - a. Was not involved in the verification or verification review
 - b. Has not had a prior dealing with the measured entity initiating the request.
11. The person assigned to investigate the request acknowledges receipt of the request via email.
12. The person assigned to investigate the request:
 - a. Reviews the request, and the information supporting the request.
 - b. 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.
 - c. Completes and documents a root cause analysis to determine the cause of the action giving rise to the request.
 - d. Makes a recommendation for Corrective Action to the committee.
13. The person assigned to investigate the request forwards their findings and recommendations to the Complaints and Appeals committee who authorises the implementation of the corrective action.
14. The person assigned to investigate, implement the corrective action and provides feedback to the measured entity on the Appeals and Complaints Register and Acknowledgement section of the request.
15. The Technical Signatory forwards the report on the findings to the client and obtains confirmation of acceptance from the client.

Information Requests

All Information requests should be resolved within 7 working days of receipt.

1. The interested party should email the complaint, appeal or information request to the TS.
2. The TS Indicates whether permission must be obtained from the measured entity for disclosure of the information.
3. The TS assigns a person to provide the information to the initiator, deemed "Person assigned to investigate" in terms of the form.
4. The Person assigned to investigate obtains permission from the measured entity to disclose the information, if required.
5. 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.
6. Permission to disclose confidential information is attached to the request.
7. The request is forwarded to the Verification Manager for filing purposes.
8. The Verification Manager updates the register