

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

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 Magna BEE Ratings (Pty) Ltd in writing.
3. The Administrator shall complete the appeals and complaints register (MAN012 F01) and assign an independent person to handle the appeal. The Administrator shall assign an independent person who was not involved in the verification from which the appeal originated. If no such independent person exists within the company the complaint will be assigned to the external expert to attend to the appeal.
4. The person assigned to handle the appeal shall send an acknowledgement of receipt to the measured entity.
5. The assigned person shall 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.
7. The assigned person 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 send a corrected verification report, scorecard and certificate to the measured entity. The assigned person shall note actions taken in the diary of the file. The

Document Number:

MAN012 P01

Revision Number:

005

Title:

Appeals and Complaints

Date:

04 October 2021

Compiler:

Greg Wood

Approved:

Leandra Arnold

PROCEDURE: MAN012 P01 – APPEALS AND COMPLAINTS

- person who assigned them to the appeal shall sign off on the effectiveness of the actions and make notes. A formal root case analysis will be performed followed by Corrective Action and Preventative Action.
10. The Process for appeals shall be stipulated in the Quote & Terms and Conditions (CORE001 F03) which will be signed by the measured entity before the BEE process commences.
 11. Any information sent to or received from the measured entity related to the appeal shall be filed in the measured entity file and any communication or decisions taken with regards to the appeal shall be noted in the diary section of the measured entity file.
 12. All appeals from SANAS, DtiC and any third party must be addressed in terms of Magna's appeals and complaints procedure.
 13. Non-Conformances must be raised for all appeals and complaints raised and addressed in terms of Magna's corrective action procedure.
 14. The effectiveness of the corrective and preventative action put in place will be evaluated within 3 months after clearing the non-conformance raised. The MAN014 F01 form used to document the non-conformance will be used and "Part 6 Follow Up Effectiveness" will be completed.
 15. All appeals must be addressed to janine@magnaratings.co.za

COMPLAINTS 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.
3. The Administrator shall complete the appeals and complaints register (MAN012 F01) and assign an independent analyst to handle the complaint. The Administrator shall assign an independent person who was not involved in the incident from which the complaint originated. If no such independent person exists within the company the complaint will be assigned to the external expert to attend to the complaint.
4. The person assigned to the complaint shall send the measured entity an acknowledgement of the complaint.
5. The assigned person has to resolve the complaint within 10 days of it being assigned to that person by means of findings report.
6. The complaint must be investigated and the seriousness of the behavior/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. For serious complaints, a formal root case analysis will be performed followed by Corrective Action and Preventative Action.
7. All complaints from SANAS, DtiC and any third party must be addressed in terms of Magna's appeals and complaints procedure.
8. Non-Conformances must be raised for all appeals and complaints raised and addressed in terms of Magna's corrective action procedure.
9. The effectiveness of the corrective and preventative action put in place will be evaluated within 3 months after clearing the non-conformance raised. The MAN014 F01 form used to document the non-conformance will be used and "Part 6 Follow Up Effectiveness" will be completed.

Document Number:

MAN012 P01

Revision Number:

005

Title:

Appeals and Complaints

Date:

04 October 2021

Compiler:

Greg Wood

Approved:

Leandra Arnold

10. All complaints must be addressed to janine@magnaratings.co.za

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 manager to ensure that the appeals and complaints procedure is always updated and available on the website. The company website is www.magnaratings.co.za.

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 and 20.

RECORDS

- MAN012 F01 Appeals and Complaints Register
- CORE001 F03 Quote & Terms and Conditions



Document Number:

MAN012 P01

Title:

Appeals and Complaints

Compiler:

Greg Wood

Revision Number:

005

Date:

04 October 2021

Approved:

Leandra Arnold