



# APPEALS

## 1. Policy Statement

AVA will investigate all Appeals methodically and objectively and will resolve within 20 days from receipt of the appeal.

## 2. Procedure

- 2.1 The Appeals procedure is publicly available on the AVA website and is included with the Verification Agreement.
- 2.2 Where the measured entity disagrees with the verification, the measured entity must explain the reasons for this disagreement to the MD, within 5 days from receiving the score. The measured entity will complete an Appeal form, AVA-FORM 03, and submit it to AVA. The administrator will acknowledge receipt of the document by email. The administrator will allocate a unique number (e.g. A-01 – A being Appeal and then the next consecutive number) which is used to track the appeal and record details on AVA-REG03 Appeals & Complaint Register.
- 2.3 The notice of appeal will be given to the MD who will, convene the Appeals & Complaints Committee as per AVA-P 06 and will formulate the Terms of Reference below. The committee will investigate the measured entity's reasons for appeal, and provide one of the following to the MD:
  - A re-evaluation of all the evidence by the committee as per the Verification Process requirement procedures. A new certificate as



per the certificate procedures will be issued as per the Certificate procedures AVA-P 11.

- Confirmation of the original verification conducted by the verification analyst assigned to conduct the initial verification.

- 2.4 The committee members investigating are independent of the original verification. This is ensured by the MD who will review the original client files for the names of the verification team before selection.
- 2.5 Records of the committee meeting are kept by the chairperson.
- 2.6 The recommendation will be submitted to the MD on re-evaluation completion for final approval. The certificate will be re-issued as per AVA-P 11 retaining the original certificate number, the expiry date will change to 1 year from date of re-evaluation and the version number will be updated.
- 2.7 The appeal procedure will be resolved within 30 days from the initial lodging of the appeal by the measured entity.
- 2.8 The measured entity will be informed by the MD in writing of the outcome at the appeal. Decisions on appeals will not result in any discriminatory actions against the measured entity who appealed.
- 2.9 Appeals are reviewed annually at the management review together with root cause analysis and corrective actions taken to ensure operational efficiency and the overall address of any staff training needs.



### **3. Terms of reference: Appeals & Complaints Committee**

- 3.1 Purpose and Objectives of the committee: The Appeals & Complaints Committee must investigate all complaints and appeals, using root cause analysis techniques outlined in the Corrective Action procedures, thoroughly, objectively and accurately within 30 (thirty) days from receipt of the complaint or appeal.
- 3.2 Output expected and the timeframes in which the output is expected
- Root cause analysis.
  - Solution and recommendations.
  - The final decision communicated in writing to the verification manager.
  - Corrective action recommendations.
  - Progress reports every two weeks in writing to the verification manager.
- 3.3 The schedule and location of meetings for the committee: Weekly at AVA offices on notification of a complaint or appeal by the MD
- 3.4 Competency requirements of committee members: Committee members must have a minimum level 3 in all competencies defined in the Individual's Skills Assessment. The person with the most experience will be appointed chairperson. Committee members will change depending on the complaint/ appeal origination to ensure impartiality.



- 3.5 Quorum: Minimum 2 committee members.
- 3.6 Balance of interest consideration of the committee members: All employee records will be reviewed by the MD to ensure impartiality as well as the measured entities file to ensure independence from the original verification.
- 3.7 Agenda
- Welcome
  - Apologies
  - Review of previous minutes of the meeting
  - Review of Appeal or Complaint
  - Review of Original documentation
  - Investigation
  - Recommendations
  - Decision
  - Date of next meeting
- 3.8 Minutes to be taken using the Minutes Template by the chairperson and must include all actions and responsible individuals. Minutes are circulated by the chairperson to the committee within 2 days of the meeting.

#### 4. Reference

SANAS R47-03