



# COMPLAINTS

## 1. Policy Statement

AVA is committed to the objective resolution and investigation of all complaints received, within 20 days.

## 2. Procedure

- 2.1 A complaint relates to how verification was conducted e.g. breach of confidentiality
- 2.2 The Complaints handling procedure and form is publicly available on the AVA website: [www.assuranceva.co.za](http://www.assuranceva.co.za)
- 2.3 The complainant must lodge a written complaint with AVA which is received by the administrator. The form is available on the website (Complaint Form AVA-FORM 04) or will be faxed or emailed by the administrator.
- 2.4 On receipt of the complaint, the administrator will acknowledge receipt of the complaint to the complainant, in writing, within 24 hours of receiving the form.
- 2.5 The administrator will validate the complaint by confirming that AVA is responsible for the B-BBEE verification activities related to the complaint. The administrator will check the client file for the date and status of verification as well as the analysts assigned to the verification.
- 2.6 The administrator will inform the MD of the complaint



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- 2.7 In the event the complaint is about a Measured Entity, the administrator will also refer the complaint to the authorized representative of the Measured Entity, in writing, within 2 days of receipt of the complaint.
- 2.8 The administrator will log the complaint on the Complaints & Appeals Register AVA-REG 03 and it will be allocated a number for unique referencing and tracking (C/00, C/01 C for Complaint, then the next consecutive number)
- 2.9 The MD will advise the Complaints & Appeals Committee (refer AVA P06 for formation and Terms of Reference below) of the complaint and provide the committee with the details of the complaint and any related documentation that was submitted by the complainant and/or that AVA has on record and in the client file.
- 2.10 The MD shall give the complainant written formal notice at the end of the complaints-handling process (at or within the 20 days) of the outcome of its decision regarding the complaint.
- 2.11 The Committee shall document on the Corrective Action Form (AVA-FORM 05) all recommendations for corrective actions taken and their effectiveness shall be determined by way of a follow-up conducted by the MD within 1 month of implementation of the action.
- 2.12 Investigation of any decisions on complaints shall not result in any discriminatory actions against the complainant and those investigating a complaint shall be completely independent of the complaint or the activities surrounding the complaint.
- 2.13 Corrective Action is taken under Corrective Action procedures and this may include disciplinary action, training, and procedural reviews.



2.14 If the complainant is not satisfied with the outcome of the investigation, the MD will direct the complainant to the DTI and SANAS

### **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 20 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 recommendations.
- The final decision communicated in writing to the verification manager.
- Corrective action recommendations.
- Progress reports every two (two) weeks in writing to the MD.

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 by the MD. Committee members will change depending on the complaint/ appeal origination to ensure impartiality.

3.5 Quorum: Minimum 2 committee members.



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3.6 Balance of interest consideration of the committee members: All employee records will be scrutinized by the MD to ensure impartiality as well as the measured entities file to ensure independence from the original verification.

Basic Agenda:

- Welcome
- Apologies
- Review of Appeal or Complaint
- Review of Original documentation
- Investigation
- Recommendations
- Decision
- Date of next meeting

3.7 Minutes to be taken by the chairperson using the Minutes template (AVA –FORM 01) and must include all actions and responsible individuals. Minutes are circulated by the chairperson to the committee within 2 days of the meeting.

#### 4. References

SANAS R47-03