



**BEE BIZ COMPLIANCE (PTY) LTD**  
**Complaint, Dispute and Appeal Procedure**  
**P-QC-01**



## **Index:**

- A. Definitions
- B. CAD Time Frames
- C. External CAD Process
- D. Actions Taken on Late CAD
- E. Technical Process
- F. Second CAD Process (if First CAD is Unresolved)
- G. Internal CAD Process
- H. File Control

### **A. Definitions**

1. Complaints: Between an external (client) and/or internal (employee) or between internal (employees) whereby the outcome is not in keeping with the Policies and Procedures of BEE BIZ and applicable legislation.
2. Appeal: To determine whether error(s) occurred in the initial decision relating to the complaint in keeping with the Policies and Procedures of BEE BIZ and applicable legislation.
3. Dispute: To determine whether error(s) occurred in the decision relating to the appeal using third party technical opinion in keeping with the Policies and Procedures of BEE BIZ and applicable legislation.

### **B. CAD Time Frames**

1. Action - Cumulative Timeframe  
Acknowledgment - Within 2 working days  
Assessor Findings - Within 7 working days  
Technical Findings - Within 10 working days  
CAD Report - Within 12 working days
2. Acknowledge means an email confirming receipt of the CAD from QC department. Assessor Findings means a signed and completed Assessor Report. Technical Findings means a signed and completed internal or external report from the Complaint Appeal and Dispute Committee. CAD Report means BEE BIZ letter detailing the outcome of the process.
3. The F-QC-119 Root Cause Analysis, Corrective Action and Effectiveness form must be completed for all CADS raised.

### **C External CAD Process**

1. A CAD is only recognised when a CAD Form is signed and completed by the Measured Entity.
2. Head of Quality (HoQ) must provide the Measured Entity with a CAD form via email.
3. HoQ to log CAD by giving a unique sequential number for reference and identification for example, Company Acronym/001.
4. HoQ to create electronic folder with the unique CAD number in the Complaints, Appeals & Disputes Folder In Progress.
5. HoQ to inform the Committee of CAD via email.
6. Committee to determine whether the CAD is an Internal Employee Rights, Property CAD, External Procedural or Technical CAD.
7. The Committee identifies the BEE BIZ employee(s) who have not been involved are declared as independent and for external are competent in the process.
8. CAD Time Frames to be Completed whether it is resolved or not resolved and progresses from an Appeal/Complaint to a Dispute.

### **D Actions taken upon late CAD**

1. HoQ to refer the CAD, which has been received after the stipulated period, to the Committee.
2. The Committee to decide whether it is to be allowed to proceed or not with the complaint, appeal or



dispute.

3. The Committee to inform HoQ if the CAD is not to be actioned, or if it will be allowed to proceed.
4. If is not to be actioned, the HoQ to inform the complainant, within two working days of the date of receipt of the CAD, the decision and the reason for not actioning the complaint.
5. If the CAD is allowed to proceed, the HoQ to follow points C and D of the P-QC-01.

**E Technical Process**

1. For procedural processes the Committee will make recommendations to the Verification Agency based on the opinions formulated from the review of information presented. Following this there will be a final meeting held between the Nominated Representative, Technical Signatory and Assessor to consider the committee findings and the original decision made by the Technical Signatory. At this point a reconsideration and review of prevailing legislations and calculation methods after which a final decision will be made in the meeting. The final decision will be made by the Nominated Representative.

Furthermore, the Technical Signatory will be required to include an explanation on their findings in the Verification Report for all verification audits conducted where the following must be indicated:

- Change in score from Assessor to Technical Signatory
  - In instances where there is a discount applied to score
  - No points awarded for an element
5. The Committee must follow the below:
    - Obtain a validated statement from the employee of the company to whom the CAD is directed.
    - Review the statement with the employee to ensure the Committee\_gains a full understanding of the procedures followed.
    - Compare the procedure to the Verification Manual to ensure the procedure is accurate at the time of implementation.
    - Where the procedure is accurate and the information presented is correct with no change to the final decision complete a letter to the client and inform them of the fact that there will be no change to the final decision.
    - Where the procedure is not accurate review the information presented by the client and amend the final decision accordingly.
    - Complete P-V-13 Certification Procedure.
    - Determine whether a Non Conformance has occurred and complete the P-QC-11 Non Conformance Procedure.
  3. For Technical Interpretation:
    - Review the input information and supporting documentation.
    - Amend where appropriate according to Technical Interpretation.
    - Where the technical interpretation is accurate and the information presented is interpreted correctly with no change to the final decision, complete a letter to the client and inform them of the fact that there will be no change to the final decision.
    - Where the technical interpretation is not accurate, then complete P-V-13 Certification Procedure.
    - Determine whether a Non Conformance has occurred and complete the P-QC-11 Non Conformance Procedure.
  4. HoQ to file a written report in the Complaints, Appeals & Disputes File and email conclusion to complainant.
  5. Complainant to confirm if he or she is satisfied with conclusion given.

**F Second CAD Process (Upon unresolved first CAD)**

1. The Committee to follow steps B and C above using different internal employees or if required external parties to include but not limited to:



- Department of Trade and Industry
  - SANAS Accredited Verification Agency
  - Human Resource Legal Team
2. The Committee to contact the approved legal service provider of BEE BIZ and hand over the matter accordingly to follow a judicial procedure.

**G. Internal CAD Process**

1. For Employee Rights the HoQ shall:
- Request the service of Human Resources Department to review the CAD against the Basic Conditions of Employment Act contained within the QM-01 and Office Environment Procedure.
  - Obtain statements from the effected parties.
  - Validated statement from the employee(s) of the company to whom the CAD is directed.
  - Review the statement with the employee to ensure a full understanding of events is gained.
  - Follow the Disciplinary Procedure in accordance with the requirements.
  - Determine whether a Non Conformance has occurred and complete the P-QC-11 Non Conformance Procedure.
2. For Property:
- Request the service of Human Resources Department to review the CAD against the Basic Conditions of Employment Act.
  - Obtain statements from the effected parties.
  - Validated statement from the employee(s) of the company to whom the CAD is directed.
  - Review the statement with the employee to ensure a full understanding of events is gained.
  - Evaluate the property related evidence.
  - Determine whether a Non Conformance has occurred and complete the P-QC-11 Non Conformance Procedure.
  - Complete the P-QC-11 Non Conformance Procedure when required to resolve the CAD

**H. File Control**

1. HoQ to file written report in the Complaints, Appeals & Disputes File.
2. Complainant to sign it off, if he or she is satisfied with conclusion given.