

POLICY STATEMENT:

Definitions:

Complaints – A formal complaint from a Measured Entity against The Legal Verification Team 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's entitled to, based on the information provided prior to the verification decision, and the score awarded the Measured Entity by the Technical Signatory.

Information Requests – A request for information regarding the verification process or supporting documentation substantiating a score, from a Measured Entity or a third party unrelated to the verification, but reliant upon the certificate issued by The Legal Verification Team.

Appeals:

TLVT will consider appeals to its verification decisions. Appeals will follow a publicly available process, and personnel involved in investigating an appeal will be independent of initial verification personnel. In the event that there are no independent resources within TLVT, this function will be outsourced to an independent competent person.

Investigation of and decisions on appeals will never result in discriminatory actions against the appellant.

Appeals will be dealt with in a timely manner and the appellant will receive progress reports and be informed of the outcome within a maximum of 30 days on the initial lodging of the appeal.

Complaints:

TLVT welcomes complaints regarding its service from interested parties in order to ensure that it maintains a high level of customer satisfaction. These complaints will be dealt with in terms of a publicly available process, which shall be subject to the requirements for confidentiality.

All complaints will be resolved in a timely manner, keeping the complainant updated through progress reports and by formal notice, of the outcome.

If necessary, TLVT will follow its corrective action procedure to ensure that the root cause of the complaint is addressed.

Where a complaint relates to a measured entity, TLVT will refer the matter to the measured entity.

Complaints and Appeals Procedure:

All complaints and appeals must be resolved within 30 days of receipt.

- All completed CAI forms are sent via email to the External Expert using the email address tlvtcai@gmail.com.
- The External Expert will sign the necessary confidentiality and impartiality undertakings contained in TLVT's Declaration Form and request a CAI number.

- The External Expert will acknowledge receipt of the complaint/appeal/information request to the complainant.
- The CAI is reviewed in order to determine whether an independent person is required to conduct the investigation;
 - Appeals and Complaints to be investigated by an independent person
 - Requests and queries, do not necessarily require independence
- The verification analyst and technical signatory that conducted the original on-site and review will not be involved in the investigation of a complaint or appeal.
- Written permission to hand the file/information to the External Expert will be obtained from the Measured Entity.
- The External Expert assigned to investigate the CAI will;
 - Acknowledge receipt of the request by signing the Investigation and Implementation Section of the request
 - Review the request and the information supporting the request
 - Review the circumstances giving rise to the complaint, or the reason for the dispute on the score, in a case of an appeal, and documents the findings in the Details of Investigation and Root Cause Analysis (RCA) section of the request.
 - The RCA is completed to determine the cause of the action giving rise to the request.
 - Recommendations for corrective action are made.
- The findings are sent to the General Manager who authorises the implementation of any required corrective action and updates the CAI register.
- Corrective action to be sent to the External Expert, who will forward to the complainant and obtain confirmation that the complain/appeal has been satisfactorily resolved.
- All completed CAI's are to be filed in the complaints/appeal file.

Information Requests:

All information requests must be resolved within 30 days of receipt.

- The interested party completes the CAI Request form, providing details of the request and emails the completed form to tlvtcai@gmail.com.
- The information request will be forwarded to the General Manager of The Legal Verification Team by the External Expert.
- The General Manager will update the CAI register and allocate a number to the request.
- The General Manager ascertains whether permission must be obtained from the Measured Entity for disclosure of the information, and if required requests permission in writing.
- Permission to disclose confidential information is attached to the request.
- An employee is assigned to provide the information and once done, details the information provided, in the 'Reports and Acknowledgement' section of the request.
- The finalised request is sent to the General Manager who will file the request in the CAI file (together with information provided) and update the CAI register.

Committee members:

Every member of the Committee shall possess a thorough understanding of TLVT's Management System.

The Chairperson shall be an External Expert.

No analyst or technical signatory involved in the on-site verification or review of the Measured Entity lodging the complaint or appeal may be a voting member of this committee.

Complaints against a Measured Entity:

On establishment of a breach of TLVT's standards, criteria or procedures by the Measured Entity, a complaint is formulated by TLVT or by a 3rd Party, the General Manager will validate the complaint by verifying the name of the Measured Entity against client information, establishing whether the certificate number correlates to internal records. The nature of the complaint will be reviewed against TLVT's policies, procedures and codes of conduct to assess whether there has been a breach in principle.

Should the complaint appear to warrant further investigation, the General Manager will forward a copy of the complaint to the authorized representative of the Measured Entity with a request for a response within ten days, to be emailed to tlvtcai@gmail.com.

The Complaints and Appeals Committee will determine whether the response from the Measured Entity is sufficient to close the complaint and notify the 3rd party in writing within seven days.

In the event that no response is received, or the response does not satisfactorily resolve the issue, the committee may instruct the General Manager to initiate further proceedings as circumstances warrant, up to and including a Special Evaluation and/or withdrawal of the verification certificate.

Should the complaint be due to misrepresentation by the Measured Entity regarding the B-BBEE Status, contents of the Scorecard Report and Certificate, the measured Entity will be required to make a public correction.

The committee will provide the representative of the Measured Entity with a formal written notification that the complaint has been closed. Should the Measured Entity express dissatisfaction with the conclusion, they will be advised to contact the DTIC.

All discussions to be documented and retained for future reference.