



BEE VERIFICATION AGENCY CC

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Our System is Honest

Handling of Complaints – P05-04

1. SCOPE

SANAS R 47: 20

This procedure deals with any complaint against any action taken the representatives of BEE Verification Agency CC.

Complaints must be resolved within 30 days of receiving the Complaint.

The Handling of Complaints process will be communicated to the market and will be available on www.beever.co.za

The verified entity will be informed if a complaint is lodged by a third party.

The Compliance Manager will investigate and handle the Complaint and ensure that no discriminatory action is introduced against the parties involved unless the complaint is directed at the Compliance Manager in which case the Managing Director will handle the complaint. Nobody involved in the complaint will be required to handle the Complaints procedure.

2. Purpose

The purpose of this document is to define how a Complaint is handled by BEE VERIFICATION AGENCY CC.

3. Complaints procedure and responsible parties

3.1 Lodging the Complaint

The complainant completes the below BEE VERIFICATION AGENCY CC **Form (F01-03)** or a detailed letter and forward it to the Compliance Manager by post, e-mail or by fax.

Once the complaint has been received by the Compliance Manager the latter will acknowledge receipt of it to the sender. The verified entity will also be informed if a complaint is lodged by a third party.

A complaint is recorded in the Complaints Register by the Compliance Manager (See F09-03)

If accepted the Compliance Manager or an independent internal resource will investigate the merits and nature of the complaint.

When the complaint is received the Compliance Manager records it in the Complaint and Appeals register and validates the complaint as justified or not. The Compliance Manager handles the whole complaint process up to resolving the complaint. The Compliance Manager must ensure that objectivity can be secured or else the matter must be referred to the Managing Director. If the complaint is accepted the Parties must then endeavour to resolve the complaint by negotiation.

This entails one of the Parties inviting the other in writing to meet and to attempt to resolve the complaint within 7 (seven) days from date of written invitation.

If the complaint has not been resolved by such negotiation within 7 (seven) days of the commencement thereof, then the Parties shall:

- Submit the dispute to mediation to be administered by the Arbitration Foundation of Southern Africa, upon such terms as agreed between the Parties and the secretariat of the Arbitration Foundation of Southern Africa; and
- Failing agreement of aforesaid within 7 (seven) days of the complaint being submitted to mediation, the parties shall refer the complaint to arbitration.

The decision of the mediator shall become final and binding within 7 (seven) days of delivery thereof to the Parties, unless one or either of the Parties disputes the mediator's decision by written notice to the other Party within the aforesaid 7 (seven) day period, in which event the dispute shall be referred to arbitration in accordance with the provisions of clause 3.2.5 below.

Failing agreement or in the event of either of the Parties furnishing its notice of dispute within 7 (seven) days of the mediator's decision the dispute shall be submitted to arbitration for final resolution in accordance with the rules of the arbitration Foundation of Southern Africa by an Arbitrator or Arbitrators appointed by the Foundation.

The decision of the mediator and/or arbitrator shall be entered into the Complaints Register.

Unless otherwise agreed in writing by all the Parties, any such negotiation, mediation or arbitration shall be held in Cape Town.

The Lodger will be informed of progress and the final decision using Form F01-03.

The Compliance Manager or Managing Director will implement any agreed upon corrective action required to solve or prevent such a complaint.

4. Complaints and Appeals Register

The COMPLAINT register is updated by the Compliance Manager with the assistance of the Administration Manager from the point where a complaint is received to the point where it is resolved.

Reporting of Complaints or Appeals – F01-03

Name of Complainant/ Appellant			
Position in Organisation			
Name and location of Organisation		E-Mail:	
		Tel: Fax:	
BEE VERIFICATION AGENCY CC Certificate No:			
DETAILS OF COMPLAINT OR APPEAL: (Use separate sheet if necessary)			
Signed by Complainant Appellant		Date	
ACTION TAKEN by BEE Verification Agency CC: (Use separate sheet if necessary)			
DETAILS OF OUTCOME OF ACTION TAKEN: (Use separate sheet if necessary)			
Signed by BEE VERIFICATION AGENCY CC Managing Director/Compliance Manager		Date	
FOR OFFICE USE ONLY			
C or A received by		Date received	
Investigation to be carried out by			
Date of occurrence that led to Complaint/Appeal (Delete as applicable)			

COMPLAINTS REGISTER REGISTER

F09-03

CA Case Number: _____

CA Received From: _____ on _____

Initial Assessment Done By: _____ on _____

Reject Decision Reason: _____

Accept Decision Reason: _____

Investigation Plan: _____

Responsible Person: _____

Result of Investigation: _____

Final Decision: _____

Action to be taken: _____

CA Initiator Informed on: _____

Action Taken: _____

Final Outcome: _____

Sign off by: _____ on _____

The rest of the procedural action is recorded on the above form.

The Compliance Manager will validate the Complaint and accept or reject it. The complainant will be informed of either decision.