

COMPLAINTS PROCEDURE: SIZWENTSALUBAGOBODO GRANT THORNTON CC

1. Scope

This document covers the procedures for resolving complaints relating to any B-BBEE verification activities for which SizweNtsalubaGobodo (SNG) Grant Thornton East London Services CC is responsible. It outlines the procedure of Receipt, Validation and Investigation, Resolution, Recording and Tracking and Completion of Complaints.

2. Purpose

The purpose of this procedure is to provide a mechanism for the effective resolution of complaints so as to:

2.2 Protect SNG Grant Thornton East London Services CC, its verified entities and other users against errors, omissions or unreasonable behaviour; and

2.3 Safeguard all parties' confidence in all verification activities.

3. Responsibility and Authority

The Managing Member, Tony Balshaw will be responsible for ensuring that all complaints against SNG Grant Thornton East London Services CC are investigated and, where these are determined to be valid, the Managing Member will ensure that the complaints are adequately addressed in a timely manner.

4. Procedure

4.1 Receipt of Complaints:

4.1.1 All complaints should be submitted to the Managing Member in writing;

4.1.2 The office of the Managing Member will capture the information onto the Complaints Register;

4.1.3 The Managing Member will determine whether the complaint relates to:

4.1.3.1 SNG Grant Thornton East London Services CC verification activities for investigation by SNG Grant Thornton East London Services CC, or

4.1.3.2 If it relates to a measured entity verified by SNG Grant Thornton East London Services CC in which case the complaint will also be referred to the verified enterprise in question;

4.1.4 The office of the Managing Member will acknowledge receipt of the complaint within 48 hours, confirming whether the complaint is a SNG Grant Thornton East London Services CC matter for investigation or whether the complaint has been referred to the relevant verified enterprise to address.

4.2 Validation and Investigation of Complaints:

4.2.1 The Managing Member will nominate a competent member of staff to verify all the necessary information to validate the complaint and to conduct an investigation into the complaint. In all cases the person nominated to conduct the investigation shall be in a position senior to that of the person who is the subject of the complaint.

4.2.2 The validation exercise and investigation process will be subject to the requirements of confidentiality as they relate to the complainant and to the subject of the complaint.

4.2.3 The findings of validation exercise, the investigation and recommendations will be submitted in writing to the Managing Member within seven (7) working days.

4.3 Resolution of Complaints:

4.3.1 The Managing Member will determine the course of action to be taken based on the reported findings and recommendations.

4.3.2 The decisions and outcome of the complaint will be communicated in writing to the complainant by the Managing Member unless the complaint is against the Managing Member, in which case the Managing Member will be responsible for the communication.

4.4 Valid Complaints:

- 4.4.1 Should the complaint be valid, the Managing Member will complete a Non-conformance, Corrective Action and Clearance Report, and raise the complaint as a Non-Conformance.
- 4.4.2 Managing Corrective Action Procedure will then be followed, to prevent any re-occurrence of the same complaints or similar complaints.

4.5 Recording and Tracking of Complaints:

- 4.5.1 The process, findings and resolution of all complaints will be recorded in a Complaints Register in the office of the Managing Member.

4.6 Completion of Complaint:

- 4.6.1 The Managing Member will check and confirm that the agreed actions have been undertaken by the specified completion date.
- 4.6.2 The Managing Member will issue a Letter of Completion, outlining the Outcome of the complaint. The Managing Member will record the date of the letter in the Complaints Register.
- 4.6.3 The Managing Member will issue a formal notice of the completion of the complaints-handling process to the complainant and record the date of issue.

5. Records

| Record | Responsibility | Minimum Retention Period | Disposal |
|----------------------------|-----------------|--------------------------|----------|
| Complaints Register | Managing Member | 2 years | Destroy |
| Original Invalid Documents | Managing Member | 2 years | Destroy |