

## Our Appeals and Complaints Procedure

Issued by: Verification Manager  
Approved by: Managing Director  
Signature Date: 25 November 2012

Revision: 1.01  
Effective date: 25 November 2012

*Note: This procedure will be publicly available on our website at <http://www.mindwalk.co.za>*

This policy applies where a measured entity expresses unhappiness or concern around

- A process relating to the verification process or the manner in which the process was dealt with – for example, the entity may complain about a delay in providing a score. This refers to a “complaint”
- A technical issue where the entity is unhappy about a verification score and accordingly queries it – for example, it may provide evidence that, although available, was not present at the time of the assessment

### 1. Purpose and Scope

Our policy defines how appeals, complaints and disputes registered by all measured entities are handled by Mindwalk. Our intention is to ensure that confidence in the integrity of the verification is maintained. This will be achieved by, inter alia:

- The quick resolution, depending on circumstances, of all appeals or complaints
- Where possible, using staff not involved in the verification process to deal with the matter

2. At any time during the assessment process, a measured entity can register a complaint with Mindwalk. Appeals, given that they relate to technicalities of a final score, may only be registered once the measured entity has received its final BEE scorecard and status from Mindwalk.

### 3. How to register a complaint or appeal

3.1. The detail of the matter should be referred to Mindwalk through email. The generic email address of [info@mindwalk.co.za](mailto:info@mindwalk.co.za) may be used for this purpose. A complaint may be made telephonically and in this instance, details of the complainant will be noted and the complainant will be asked to email Mindwalk with relevant details.

3.2. The Managing Director will peruse the complaint or appeal and where possible will appoint uninterested parties to resolve the matter as speedily as possible

#### 3.3. Timeframes:

- For complaints, clients have 2 working weeks to issue a complaint from the date of the relevant incident.
- For appeals, clients have 1 working week to issue an Appeal relating to a BBBEE score from the time that scorecard is issued, but before the final signed-off certificate is provided.
- Mindwalk will provide an outcome relating to the issue within 2 working weeks of receipt of the matter.

### 4. Internal procedure

4.1. Once the detail of the matter has been received and noted, the client will receive confirmation electronically that the information has been received and that will be attended to speedily.

4.2. With regard to complaints, where action has been necessary, the MD will notify the entity of the measures that were taken.

4.3. With regard to appeals, where an error has arisen and where it is necessary to adjust a score, based on the appeal, a revised scorecard will be drawn up and provided to the client for approval. A certificate will then be issued.

Distribution List: To be confirmed by all staff			
Verification Manager		Analyst	
Senior Analyst		Analyst	

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- 4.4. In order to ensure impartiality insofar as it is possible, a complaint will be investigated by a person, not directly involved in the subject-matter of the complaint.
- 4.5. With regard to appeals, the matter will be dealt with by a person who was not a direct member of the relevant verification team.
- 4.6. In the event that any matter concerning a complaint or appeal is not resolved and remains in question, then the matter may, at the client's initiation and cost, be referred to a competent external person. A competent person may, subject to the approval of Mindwalk, include a technical signatory of at least two years' standing from another verification agency, an accountant or attorney with sufficient knowledge and experience of BBBEE.

### 5. Auditing of Complaints and Appeals

- 5.1. A register of all complaints and appeals will be kept and Mindwalk will assess on a half-yearly basis the extent to which appeals and complaints have been registered and whether additional actions, particularly, in the case of repeated complaints, is needed.
- 5.2. Where errors have been made in terms of procedure or implementation, such as incorrect calculations or quality management system requirements not being met, then training will occur. Subsequent to that at least 2 files that the relevant person has worked on will be checked to ensure that the error is not repeated.
- 5.3. Auditing of Complaints and appeals will form part of the Annual Audit and there will be an assessment concerning the extent to which these have increased Mindwalk's exposure to risk.

DOCUMENT CONTROL		DOCUMENT NO: OP 11.1.0	
DOCUMENT REVISION CONTROL HISTORY			
PAGE	REASON FOR CHANGE	REVISION	DATE OF ISSUE
All	New document	1.00	25 November 2012
1	Provision to advise of public availability of procedure	1.01	19 December 2012
2	Provision to ensure independence in resolving appeals and complaints.Paras.4.4,4.5 and 4.6		

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