

11 De Villiers Road, Bellville, 7530; PO Box 1566, Bellville 7535, South Africa; Tel. 021 946 2480;
Fax 021 946 1238; E-mail: info@rode.co.za; GPS: 33°53'58,5"S; 18°38'14,5"E
Rode & Associates (Pty) Ltd.; reg. no. 2009/005600/07; VAT nr. 4480101791. MD: ERWIN RODE.

RODE & ASSOCIATES COMPLAINTS HANDLING PROCEDURE

Although we are not a regulated RICS firm, we have two employees (including our CEO) who are Members of RICS. In order to meet with RICS requirements for their members, we have in place a Complaints Handling Procedure (CHP), which meets the regulatory requirements set by RICS.

Our CHP has two stages. Stage one of the CHP gives our firm the opportunity to review and consider a complaint in full. Our firm will try to resolve a complaint to the complainant's (or client) satisfaction. If the client is not happy with our response, they will have the opportunity to take their complaint to stage two.

Stage two gives the client (i.e. complainant), the opportunity to have their complaint reviewed and considered by an independent redress provider, approved by RICS.

Stage One

If the client has spoken to us about their complaint, we will request the client to please put the details of their complaint in writing. We will ask that they put their complaint in writing to make sure that we have a full understanding of the reasons for their complaint. Written complaints will be sent to:

Erwin Rode, CEO
Rode & Associates (Pty) Ltd
11 De Villiers Street
Oakdale
Bellville
7530
t +27 (0)21 946 2480
e erwin@rode.co.za
w www.rode.co.za

The complaint will be considered as quickly as possible, and we will acknowledge receipt of the complaint within 7 days. If we are not able to give a full response, we will update the client within 28 days.

Stage Two

If we are unable to agree on how to resolve the complaint then we will inform the client that they have the opportunity to take their complaint to an independent redress provider, as approved by RICS Regulatory Board. We have chosen to use the following redress provider (we are registered with them):

For Consumer Clients and Business-to-business clients:

Centre for Effective Dispute Resolution (CEDR)

International Dispute Resolution Centre 70 Fleet Street
London EC4Y 1EU United Kingdom
t + 44 (0)20 7536 6000
f + 44 (0)20 7536 6001
e info@cedr.com
w www.cedr.com

Internal Rode guidelines for using the complaints log

1. Complainant Details

Include full details of the complainant within the complaints log. These should include the contact name, postal address, email address, telephone and/or fax number.

Also record any impairments or special circumstances which the firm should take into consideration when progressing the complaint.

2. Dates

To demonstrate how timely a complaint is dealt with, include the dates of when the complaint was received and when any action is carried out. i.e. each time the complainant was contacted, when action or investigation took place, when the matter was referred to a redress scheme and/or insurers etc.

3. Complaints handler and reference numbers

Include the name of the person who is dealing with the complaint for ease of reference. Also allocate a reference number to the complaint to make it easier to locate the file.

4. Relevant Person

The complaints log should clarify what the complaints are about, i.e. firm or an individual, to establish if there are any training needs, or whether some of the firm's internal processes need amending to reduce the number of complaints received.

5. Description of complaint

The complaints logs must always include a description of the complaint, detailing what the complaint is about and ensuring that all correspondence is in writing.

In this way the firm can establish if there has been a number of complaints about a particular area of work or about a particular individual which may need addressing further.

6. Investigation and outcome

The complaints log must outline what outcome the firm has reached through investigation of the complaint and what action will be/has been taken. Also include details of whether the matter has been referred to insurers, independent redress etc. It should also be noted whether the complainant has been informed in writing of the firm's outcome and what the next step is should they not agree with the actions taken by the firm.

7. Further action by firm

Management must consider whether any insights have been gained from the investigation of a complaint in order to reduce the number of complaints received or prevent a similar situation arising again. This could include the noting down of any potential areas of training the firm could offer; amendments to policies and procedures; individual training needs; and notification to insurers and/or redress providers.

COMPLAINTS LOG

Information to log	Details
Complainant Details: <ul style="list-style-type: none">• Name(s)• All available contact information (address, telephone, fax, email etc)• Any special circumstances?	
Date complaint received	
Date complaint logged	
Logged by	
Complaint reference number	
Relevant Person Details: <ul style="list-style-type: none">• Firm or individual (name of person)• Multiple complaints about the same individual?	
Details of complaint: <ul style="list-style-type: none">• Received in writing?• Description of complaint (what, where, when, who, why etc)• Has more than one complaint been received within the same area of work?	
Investigation and outcome: <ul style="list-style-type: none">• What action has been taken?• Is complainant satisfied?• Referred to independent redress?• Insurers notified?• Complainant confirmed outcome in writing?• Has or is RICS involved?	

Action taken by firm to prevent re-occurrence and to reduce the number of complaints for that individual or that area of work	
Any other comments	

Signed off by appropriate member of staff:

[Name of staff member and designation]

[Signature]

[Date]