

ARC Grievance Mechanism Procedure

Summary

1. The Grievance Mechanism procedure provides guidance to any person and/or third party who wishes to make a complaint against Africa Risk Compliance Limited (ARC) if, in the course of providing services, it is alleged that the company or personnel employed or contracted by the company have acted or will act in a manner that violates Articles 66 and 67 of the International Code of Conduct Association (ICoCA).
2. The procedure will provide the necessary process by which to submit a grievance to ARC and how the grievance will be processed internally.
3. In its compliance with the ICoCA, ARC will:
 - a. Maintain records of any allegations, findings and/or disciplinary measures, and will provide access to such records to a competent authority on request unless when prohibited or protected by law.
 - b. Cooperate with investigations and neither ARC nor its employees will not impede any testimony or investigations.
 - c. If an employee is found to have breached any terms in the ICoCA or ARC's own processes, the necessary disciplinary action will be taken by ARC, including possible termination and possible legal action.
 - d. Ensure that any whistleblowers of actions that run counter to the ICoCA will be protected, in line with ARC's whistleblower's policy (document ref 01-01-03-12).

Procedure

4. On receipt of a complaint or grievance against the company, senior management will first determine if the grievance can be resolved informally. This decision will be based on:
 - a. Whether there is a valid grievance that must be addressed (i.e., no spurious claims).
 - b. What steps will need to be taken to address the grievance.
 - c. Recording the grievance, discussions with the complainant and the outcome. This record must also be provided to the complainant and their affirmation that the matter has been addressed.
5. If the grievance is unable to be resolved informally, the complainant will provide the company with a formal written letter outlining the nature of the complaint. On receipt, senior management will immediately confirm receipt of the letter and investigate the complaint. A confidential meeting will be held with the complainant, and if necessary, the person the complaint is against, within 14 days of receiving the letter.
6. At the meeting with the complainant, ARC will:
 - a. Explain the process of the grievance procedure and how the meeting will be conducted with the complainant, including the structure.
 - b. Provide the opportunity for the complainant to describe the nature of their complaint.
 - c. Ensure that all the facts are known about the complaint, including any witness statements.
 - d. Enquire if the complainant has any suggestions themselves on how to resolve the complaint (only if appropriate).
 - e. Provide a summary of the meeting and provide the same in writing to the complainant on the same day as the meeting.

7. At the meeting with the complainant, ARC will:
 - a. Explain the nature of the complaint against the person.
 - b. Find out this person's view of the situation when the complaint was made.
 - c. Ask if they have any suggestions on how to resolve the situation.
 - d. Explain the next steps in the grievance process.
8. Meetings with both parties will continue until the matter is resolved, or, it is apparent that the issue will not be resolved through meetings and either needs further investigation or referral to another competent authority (legal or otherwise).

Scope

9. This procedure applies to all permanent and temporary employees of the Company (including any of its intermediaries, subsidiaries or associated companies). It also applies to any individual or corporate entity associated with the company or who performs functions in relation to, or for and on behalf of, the company, including, but not limited to, directors, agency workers, casual workers, contractors, consultants, seconded staff, agents, suppliers and sponsors ("associated persons"). All employees and associated persons are expected to adhere to this procedure to protect the privacy, confidentiality, and interests of our company and our services, employees, partners, customers, and competitors.

Responsibilities

10. It is the contractual duty and responsibility of all employees and associated persons to take whatever reasonable steps are necessary to ensure compliance with this procedure.
11. The Grievance Procedure is publicly available.
12. Breach of this procedure may result in disciplinary action and, in serious cases, may be treated as gross misconduct leading to summary dismissal.