



GRIEVANCE POLICY AND PROCEDURES

Revision version: V02





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ALASTORA FOR SECURITY SERVICES CO. (IRAQ)
GRIEVANCE POLICY AND PROCEDURES

1. Document Control (ISO 9001:2015, Clause 7.5)

This documents contains information in respect with Alastora policy, procedures, standards to improve alignment with ISO 9001:2015, ICoCA guidelines & procedures, and other management system standards.

This document will be periodically reviewed and updated to ensure all its content are current and accurate, and meet business requirement.

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| Policy Number : | LSS-SOP-HR-2019-002 |
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| Policy review date : | Annually by HR Department |
| Validity : | This policy remains effective until replaced or deleted |
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2. Purpose

This grievance procedure is designed to allow all parties to report any alleged failures by the Company to respect the Voluntary Principles of Security and Human Rights (VPSHR) or business ethics

This document owned by Alastora and if any queries arising from this procedure or its implementation can be taken up directly with the HR Department at hr@alastora.com

This procedure is intended to be read by all employees, contractors and third parties for general information and awareness.

3. Scope

This policy refers to everyone in the company regardless of position or status.

4. References

The International Code of Conduct Association (ICoCA)

5. Definition

We define grievance as any complaint, problem or concern of an employee regarding their workplace, job or co-worker relationships.

It also describes how third party can raise a complaint or grievance and outlines how he can expect such a complaint to be handled in confidence.





The term “Third party” within the context of this policy does not refer to those that have contractual relationship with, or are employed by Alastora, but more to individuals or communities that live and work in Alastora operation areas. Third party may be affected by Alastora’s action in several ways such as:

- a. Verbal abuse, personal injury or death
- b. Infringement of human rights
- c. Damage to property and material or financial loss
- d. Excessive use of force
- e. Environmental damage

6. Introduction

Grievances are concerns, problems or complaints raised by third party or that employees raise with their employers. Where possible, employees should aim to settle grievances informally with their line manager. Employees and Managers have a mutual responsibility to ensure that proper attempts are made to try to resolve any grievances through informal means and, where appropriate, through mediation .However, if this is not possible, the procedure set out in this document should be adhered to.

7. Grievance Policy

This policy and procedure intends to meet all aspects and principles contained in the International Code of Conduct Grievance Procedures <http://icoca.ch/en/icoc-association>. The following comprise the Company’s grievance policy (all information will be held confidential):

Our policy and procedures also facilitate the reporting of improper or illegal conduct, or a violation of ICoCA Code, that has occurred or is about to occur. All allegations will be investigated promptly and impartially and with due consideration to confidentiality.

According to what was mentioned above Alastora will;

- a. Publish details of their grievance mechanism on a publically accessible website;
- b. Investigate allegations promptly, impartially and with due consideration to confidentiality;
- c. Keep records about any such allegations, findings or disciplinary measures. Except where prohibited or protected by applicable law, such records should be made available to a Competent Authority on request;
- d. Cooperate with official investigations, and not participate in or tolerate from their Personnel, the impeding of witnesses, testimony or investigations;
- e. Take appropriate disciplinary action, which could include termination of employment in case of a finding of such violations or unlawful behaviour;
- f. Ensure that their Personnel who report wrongdoings in good faith are provided protection against any retaliation for making such reports, such as shielding them from unwarranted or otherwise inappropriate disciplinary measures, and that matters raised are examined and acted upon without undue delay.
- g. Cooperate with official investigations, and not participate in or tolerate from their Personnel, the impeding of witnesses, testimony or investigations.



In the event of an issue arising from a third party complaint Alastora will:

- a. Process complaints in an effective, appropriate, transparent and fair manner, with due consideration for confidentiality.
- b. Conduct an initial assessment and investigate further as needed
- c. Identify the root causes, remedy the impacts and take disciplinary action where appropriate
- d. Advise complainants of the outcome of investigation
- e. Develop remedial training and implement procedures to reduce the likelihood of future similar complaints.
- f. Report complaints to the appropriate external authorities when the nature or severity of the complaint requires such action giving its full support to any external investigating authority. Where a criminal act may have taken place, Alastora's legal advisor will consider taking this matter to the appropriate authorities, providing information, documents and any other supporting documents that seem necessary.

8. Grievance Procedures

Those wishing to register a complaint should provide as much information of the circumstances surrounding Alastora's alleged malpractice. Where third party believe that the complaint has been handled inappropriately and prefer to seek independent redress, they are advised to refer this matter to an external body.

Employees are encouraged to discuss any problems, complaints or suggestions with their line manager, supervisor, Head of department or direct to the HR Department, explaining the nature of the problem and the relief sought. The Company would like complaints to be resolved in an informal way, but where this is not possible, the following procedure must be adhered to:

Stage 1 : Grievance submission and statement

An Employee who has any grievance or complaint should raise it with the company Head of Department, Line Manager, or Supervisor, in writing by completing the Grievance form and send a copy to the HR department.

Third party who wish to register a complaint or grievance should send an email to HR@alastora.com or visit our HQ for a face to face meeting with Alastora's HR manager .

Stage 2 : Management meeting and decision

Management will arrange for a meeting to take place as quickly as possible but within Three (3) working days to discuss the grievance. Details of the grievance should include; the nature, time, place and involved. Management will make themselves full aware of all the facts related to the case , talk with the employee to ensure the matter is understood completely, conduct an investigation when needed, keep all concerned employees informed throughout the process and take actions to ensure the outcome(formal decision) is adhered to



On receipt of the third party complaint or grievance, Alastora's will nominate a member of its management team to act as the point of contact(POC). POC will outline to the complainant the stages in the resolution process, liaise with all relevant parties, provide progress update and report on the outcome. If there is evidence that a criminal or serious disciplinary offence may have been committed, then the matter will be referred immediately to Alastora's legal department, then to the concerned authority.

Stage 3 : Grievance appeal and final decision

If the aggrieved party is dissatisfied with the outcome of the decision, he can appeal but this must be submitted within 3 working days explaining the reasons for appealing in writing to CEO or any nominated representative.

Dealing with appeals will follow similar steps as stage 2 but this time by gathering more information and investigating further.

The aggrieved party will be informed in writing of the final decision made by the CEO within 5 working days of the appeal submission.

Alastora committed to Cooperate with official investigations, and not participate in or tolerate from their personnel, the impeding of witnesses, testimony or investigations.

9. Complainants rights and responsibilities

Alastora will do all efforts to be sure when you make a complaint, you will be protected from further acts of bullying and harassment, and this will be applied for others who will provide evidence or information.

Alastora offers protection to any employee who honestly and reasonably believes that underhand or illegal practices are taking place. Alastora undertakes to comply with all applicable laws relating to the prohibition of retaliation against good-faith whistle-blowers; see the Public Interest Disclosure Act 1988, which gives protection against victimisation or dismissal to workers who whistle-blow.

Assuming the requirements of this policy have been met, Alastora Security undertakes to protect the employee from any personal claims and from any victimisation, harassment or bullying occasioned as a result of his/her disclosure. Alastora Security also undertakes not to initiate any disciplinary action. The aim is that the career of any employee should not in any way be harmed or hindered as a result of his/her disclosure (whether the item reported proves to be true or not, provided the reporting was carried out in good faith).

Any reprisal or similar action taken against a discloser because he/she has made a protected disclosure under this policy may be regarded as gross misconduct and may result in disciplinary action.

Any deliberate false or malicious allegations will be taken very seriously and appropriate disciplinary action will be taken. Where an employee acts in a malicious way (for example, by leaking information ...), the protection outlined above will not apply and the employee will be subject to disciplinary action which could result in summary dismissal for gross misconduct.

Complainant must cooperate fully and promptly in any investigation. This may include informing Alastora of the names of witnesses, disclosing any relevant documents or information and attending interviews.



10. Records Management

- Keep accurate records
- Each step of the process will be recorded and a copy will be sent to the HR department to be retained
- Upon closure of the matter, a copy will be added to the employee personnel file as a record of steps been taken and resolution.
- Preserve confidentiality of the records

11. Matters to be Aware of when handling Grievances

When dealing with a grievance, management should be aware of and practice the following:

- Hold any grievance interview in private without interruptions.
- Where a grievance relates to the person's Line manager, ensure that the employee can raise the grievance with someone else.
- Listen carefully to the person's explanation of the problem and consider whether there is a deeper issue, which might be the root cause of the grievance.
- Listen to any conflicting points of view.
- Consider all evidence to see whether there is really an issue that needs to be addressed.
- Decide what action to take, trying to balance fairness to the person without compromising the business or other employees.
- Keep the process as confidential as possible.
- Advise complainants of the process
- Ensure that complaints or grievances raised through Alastora's management are escalated to an appropriate level
- Ensure that investigations are fully supported

12. Non Retaliation

The Company will protect any person that raises a compliant or grievance. Any form of retaliation, victimization or threats will not be tolerated and will be treated as a very serious disciplinary matter that could result in termination.

13. Publication

This policy and procedure will be disseminated to all employees as part of the induction process, displayed on company notice boards and the Company website for all non-employees.