

SAMPLE – COMPLAINT PROCESS POLICY

We Want to Know!

If you believe anyone is violating (1) any law; or (2) any Company policy such as inappropriate conduct, we need to please know about it immediately. There are multiple options for you to let us know about your concerns:

- **In person:** We encourage you to notify your supervisor or anyone in [HR] or [specific role/title in HR];
- **By phone:** You are welcome to contact our [employee hotline] or [HR department phone number] at any time to share your concerns;
- **Online:** Our [online employee portal] or [specific email address] allows you to submit your concerns online 24/7;
- **In writing:** Any concern may be submitted in writing via a written statement and provide to [HR] or [Legal Department].

Timing is Crucial

Please notify the Company promptly if you are aware of any violations of law or Company policy. Prompt reporting will serve to enhance the Company's ability to investigate effectively and to preserve important evidence for future proceedings, including, for example, legal and disciplinary proceedings.

Confidentiality is Critical

Confidentiality is critical to help ensure all concerns and complaints are reviewed and (as appropriate) investigated objectively and fairly to everyone involved. Please know that all concerns and complaints are important to us; however, depending on the nature and complexity of the issue, it will take time to evaluate the concern. Subject to all laws and Company policies, we will keep you apprised of developments. Please know that in some circumstances we may not be able to share with you the resolution or specific actions taken by the Company.

Anonymous Complaints

Please know that all complaints are reviewed and handled with care and concern for our employees. If a concern is reported anonymously, it will be reviewed to the extent possible. However, anonymous complaints may affect the Company's ability to investigate and respond effectively.

No Retaliation

No one may be discouraged from notifying the Company of any complaint or concern. If you believe that you or anyone that has filed a claim is receiving any type of negative treatment as a result of notifying the Company of a concern, please notify [any member of the Executive team] or [HR] immediately.

Conflicts of Interest

Please know that your concerns will only be shared with Company individuals that need to know about the issue in order to appropriately and adequately review and investigate the concern. In the event your concern involves an individual that would typically be involved or made aware of such a concern, please know that the Company will take all reasonable steps to avoid any conflicts of interest. We have processes in place to allow alternate individuals evaluate the concern when potential conflicts of interest arise. Typically, HR and only individuals relevant to the concern will be involved in the investigation. The [Legal] department may be involved as well depending on the nature and complexity of the concern. Please let us know of any potential conflicts of interest that you believe may or actually exist.

Timing

Each concern and complaint are unique and important to us. Therefore, it is impossible to provide a specific timeline for resolution of all complaints and concerns. However, HR will begin its review and investigation process usually within three (3) business days of receiving the complaint or concern. Depending on the number of individuals involved and complexity, the investigation can take up to [three to six weeks].

Your concerns are important to us! We are here to help.