

Risk and Strategic Management, Corp

Grievance and Complaints Policy and Procedure

Introduction

RSM is committed to improving service quality in response to feedback, suggestions or complaints or service issues. We are committed to providing an environment in which every employee and contractor can undertake their work in an atmosphere that is conducive to building our team and meeting our business objectives, whilst delivering first class service to our clients and upholding the highest standards of behavior and service delivery.

Scope

The object of this grievance policy is to enable employees, contractors and 3rd parties who consider that they have a grievance or complaint to have it dealt with at the appropriate level within as short a time as possible. This policy applies to all aspects of RSMs service, policies and procedures. The policy applies to all employees and contractors when dealing with complaints and if required complaint escalation.

Review

This policy will be reviewed from time to time to ensure that it reflects our legal obligations and our business needs. This policy does not form part of any employee's contract of employment, and we may amend it at any time.

Informally Raising a Concern

If you have a grievance or complaint as an employee or contractor, you should first raise it informally with your line manager. If you have a grievance or complaint as a client or 3rd party, you should raise it informally with your local RSM representative. Many grievances can be resolved informally in this way and such informal steps are not part of the formal grievance procedure.

Formally Raising a Concern

When the matter is very serious, or in other exceptional circumstances where there are good reasons for not raising the matter informally, you may proceed straight to the formal stage of the procedure. For a formal report of a concern or complaint submit a written statement setting out the nature of your grievance or complaint. The written statement should be forwarded to your line manager or local RSM management representative.

Confidential Reporting

If the grievance is against your line manager or local RSM management representative, you can raise the grievance with the RSM Chief Operating Officer colin.brown@rsmconsulting.us who will allocate an appropriate person to deal with the complaint you have raised. The person dealing with the grievance will make all necessary investigations and will arrange a meeting with you to discuss the grievance at the earliest opportunity.

Anonymous Complaints

We accept anonymous complaints and will carry out an investigation of the issues raised where there is sufficient information required to do so.

SIGMA 7 RSM

RESILIENCE AND TRAINING

No Detriment

RSM will take all reasonable steps to ensure that a person making a complaint or grievance are not adversely affected because a complaint has been made in good faith. We will not tolerate any form of detrimental treatment or retaliation against a complainant. The fact that a complaint has been made will not stop in normal circumstances any ongoing measures around performance or disciplinary matters.

Acknowledgement and Response

Where a formal complaint is received, we shall respond promptly and in normal circumstances within 24 hours. All formal complaints will immediately be escalated to the Chief Operating Officer colin.brown@rsmconsulting.us who will determine the appropriate next steps based upon the nature and criticality of the complaint.

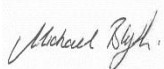
Record Keeping

All formal complaints will be allocated a Unique Identifying Number and a file will be established relating to the complaint. Records are to include 1) specific details of the complaint, 2) investigative materials, 3) findings of the investigation, 4) decisions and action.

Communicating Outcomes

Following a complaint and the ensuing investigation we shall communicate with the person making the complaint and advise them on 1) the outcome of the complaint and action taken, 2) the reasons for our decision, 3) the solutions we have implemented.

We are committed to resolving each stage of the procedure as quickly as reasonably possible, considering the need to investigate any grievance fairly and thoroughly and any constraints imposed by staff availability.



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