

# Filing Legal Complaints

## 1. Overview

Company K is dedicated to providing a transparent, structured, and fair process for employees to raise and resolve legal disputes. The Filing Legal Complaints Policy outlines a clear procedure to ensure that all complaints are addressed promptly, confidentially, and impartially.

- Purpose: To give employees the ability to report legal concerns related to employment, safety, or contractual issues, ensuring that these are resolved through a formal and structured process.

## # 2. Types of Legal Complaints

Legal complaints at Company K can vary in nature, and the policy classifies them into three main categories:

- Employment-related Complaints: These include issues such as:

- Discrimination: Complaints related to unfair treatment based on race, gender, age, disability, or any other protected characteristic.

- Wrongful Termination: If an employee feels they have been terminated without just cause or in violation of their rights.

- Wage Disputes: Issues related to unpaid wages, overtime disputes, or discrepancies in compensation.

- Contractual Complaints: These pertain to breaches of contract or agreements:

- Breach of Employment Contract: Failure to adhere to the terms outlined in an employment agreement.

- Service Agreement Violations: Disputes regarding the terms or execution of a service agreement between the employee and Company K.

- Safety Violations: Complaints that highlight concerns about workplace safety, such as:

- Workplace Safety Issues: Unsafe working conditions that may put employees at risk.

- Health Violations: Non-compliance with health regulations, including poor sanitation or failure to follow health guidelines.

- Hazardous Conditions: Dangerous materials or situations that endanger employees' well-being.

### # 3. Submission Process

The policy outlines a structured process for employees to submit legal complaints, ensuring transparency and consistency.

#### - Step 1: Filing the Complaint

- Employees can submit legal complaints in writing through the following methods:
  - HR: Hand-deliver or submit the complaint directly to HR personnel.
  - Internal Portal: Submit complaints via Company K's internal employee portal.
  - Email: Send the complaint to the designated HR or legal department email.
- Complaints must include:
  - The employee's full name and department.
  - A detailed description of the complaint.
  - Any supporting documentation, such as emails, witness statements, or other evidence relevant to the complaint.

#### - Step 2: Acknowledgement

- Within 3 business days of receiving the complaint, the HR department will provide an acknowledgment.
- HR will also give the complainant a timeline for the investigation, so they are informed about the next steps and expected resolution timeframes.

#### - Step 3: Investigation

- A dedicated investigator or team will be assigned to handle the case. This includes gathering:
  - Relevant evidence, such as documents or communication records.
  - Witness statements from individuals who may have information related to the case.
  - A thorough review of the facts to ensure impartiality.
- The investigator will also consult relevant legal and company policies to ensure compliance.

#### - Step 4: Resolution

- After completing the investigation, the findings will be shared with both the complainant and the respondent (the person or department against whom the complaint is filed).
- The resolution may involve one or more of the following outcomes:
  - Mediation: A third-party mediator may facilitate discussions to resolve the issue.

- Financial Settlement: If applicable, financial compensation may be offered to settle the complaint.
- Reinstatement: For cases like wrongful termination, the employee may be reinstated to their position.
- Disciplinary Action: If the complaint is upheld, disciplinary measures may be taken against the responsible party, which could include warnings, suspension, or termination.

#### # 4. Confidentiality and Retaliation Protections

Company K prioritizes the privacy and protection of all parties involved in legal complaints.

- Confidentiality: All complaints are handled with strict confidentiality. The identities of the complainant and the respondent, as well as the details of the case, will be shared only with those who need to know, such as investigators or senior management.
- No Retaliation: Employees who file legal complaints are protected from any form of retaliation. Retaliation includes any adverse actions such as demotion, exclusion from opportunities, or creating a hostile work environment. Any retaliatory behavior will result in disciplinary measures against the offending party.

#### # 5. Escalation Process

If the complainant is dissatisfied with the resolution or feels the issue was not properly addressed, they have the right to escalate the complaint.

- Internal Escalation: The complaint may be escalated to senior management, who will reassess the case and determine whether the resolution was appropriate.
- External Legal Authorities: In certain cases, especially those involving serious legal infractions, the complaint may be escalated to external legal authorities. Employees can seek legal recourse outside of the company if necessary, depending on the nature of the issue.