



Business Management System
Business Units/Operations
Standard Operating Instruction

Doc No:
KK-COR-OPS-SOI-011-A1

Date:
14 September
2017

Title: Complaints & Grievance

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PURPOSE

1. This Complaints & Grievance Standard Operating Instruction applies to KK Security, which is part of the wider GardaWorld Group. It is designed to provide direction to KK Security personnel following the receipt of a complaint from any source, be that internal or external. This could include or be in relation to Client Services, Whistleblowing, KK Security personnel, or an external complaint.

SCOPE

2. This standard operating instruction (SOI) covers the way in which all complaints deriving from an individual or company, which arise as a result of alleged acts or omissions of KK Security are dealt with and resolved. This SOI applies to all operations of the KK Security Group.

INFORMATION

3. This SOI plays a key role in realising KK Security's commitment to best practice and in meeting its international, national and local obligations. The international protocols to which KK Security as part of GardaWorld subscribes and to which this process seeks to serve are:
 - a. UN Guiding Principles for Business and Human Rights – Principle 31.
 - b. The International Code of Conduct for Private Security Service Providers – Commitment 67.
4. In addition to ensuring that KK Security complies with the international protocols to which we subscribe to, this SOI ensures compliance with the following standards to which hold certification to:
 - a. ISO 18788:2015 Management System for private security operations
 - b. ANSI/ASIS PSC.1-2012 Management System for Quality of Private Security Company Operations – Requirements with Guidance
 - c. ISO 9001:2015 Quality management systems
5. This guidance is jointly articulated in ANSI-ASIS PSC1-2012 Clause 9.5.7, the external certification process which validates the effectiveness of KK's procedures.

DEFINITIONS

6. The following provides definitions of the terms Complaint and Grievance;
 - a. **Complaint**. A Complaint includes any complaint made by an individual or company which arises as a result of the alleged acts or omissions of KK Security or any personnel (including contractors or employees engaged by it at the time the alleged acts or omissions took place) or any of its subcontractors.
 - b. **Grievance**. A Grievance is the cause of or grounds for a complaint.

ROLES AND RESPONSIBILITIES

OVERSIGHT BOARD

7. The Oversight Board will provide impartial advice and where necessary direction in relation to the Complaints Procedure. Where required it will:
 - a. Appoint Investigating officers.
 - b. Make referrals to an Ethics Committee.
 - c. Monitor and oversee the Complaints Database.

COMPLAINTS HANDLING OFFICER

8. The Business Unit Head will serve as the overall Complaints Handling Officer (CHO) and will ensure:

Complaints are appropriately categorised.

 - a. Complaints received have been referenced.
 - b. E-mail is sent to the complainant acknowledging receipt of the Complaint and providing the complainant with the reference number for the Complaint, as above.

COUNTRY MANAGERS

9. Country Managers will serve as CHOs for their countries and ensure that this Complaints Policy is widely circulate and understood by those within their area of responsibility. They will also ensure that Complaints Boxes are in-place as outlined in this document.

REQUIREMENTS

10. The following outlines the process and requirements that relate to the receipt of complaints and how external grievances feed in to this process.

RECEIPT OF COMPLAINT

11. A communication of a Complaint may be received in a number of ways:
 - a. Via email to the address: customerservicekenya@kksecurity.com (country equivalent outside of Kenya)
 - b. Via hotline number: +254 722205502 (country equivalent outside of Kenya)
 - c. Via the submission of a completed form as included on the KK website: www.kksecurity.com
12. If a member of staff receives a verbal Complaint, he/she should direct the originator of such Complaint ("Complainant") to make his/her Complaint via one of the above methods so that it can be captured.
13. Upon receipt of the Complaint, The Complaint Handling Officer will ensure the following have been performed either by himself/herself or an appropriate designate:
 - a. Determine in the first instance how the Complaint should be categorised (see below);

- b. Assign a reference number to the Complaint in the database for the recording of Complaints (“**Complaints Database**”); and
- c. Send an email to the complainant, acknowledging receipt of the Complaint and providing the complainant with the reference number for the Complaint (as above).

ADVICE

14. The Complaints Handling Officer shall consult the KK or GardaWorld legal department (“Legal Department”) where he/she needs to make a decision as to how a Complaint will be handled.

CATEGORISATION OF COMPLAINT/GRIEVANCE

15. Complaints (which are not External Complaints (as defined below) are divided into the following categories:
 - a. Customer Complaints. Customer Complaints relate to issues associated with operational service quality. The CHO will ensure that all customer complaints are recorded in a **Complaints Database** are escalated appropriately and resolved within agreed timelines.
 - b. Whistleblowing. Whistleblowing is the disclosure of information by an employee or contractor which relates to some danger, fraud or other illegal or unethical conduct in the workplace. If a Complaint relates to his/her personal circumstances in the workplace then the complainant should use this Complaints Procedure and not the Whistleblowing Policy. If the Complaint falls within the remit of the Whistleblowing Policy, the Complaints Handling Officer (“CHO”) shall refer the Complaint to KK’s designated Whistleblowing Officer (DWO) and close the Complaint in the **Complaints Database**. The DWO will then take responsibility for the handling of the Complaint until resolution. The DWO will inform the individual that they have taken responsibility; this step should be completed within five working days.
 - c. Internal Grievance. If the Complaint is made by personnel and does not fall within the remit of the Whistleblowing Policy, the CHO shall refer the Complaint to the Human Resources department (“HR”), and shall explain to the complainant, where possible within five working days, how the Complaint is to be handled. The CHO shall then ensure that the Complaint has been closed in the Complaints Database. HR shall ensure that the Complaint is properly addressed in a timely manner in accordance with all relevant KK policies, until resolution.
 - d. Comment/Observation. If the Complaint is determined by the CHO (following the recommendation of the Legal Department) (i) not to fall within a, b or c above and (ii) is not otherwise actionable as an External Complaint (see below), and where the complainant makes no specific allegation or produces no substantive evidence against either KK as a company or an individual working for KK: the CHO shall refer the Complaint to an appropriate internal recipient and the complainant should be advised what (if any) action is being taken. This step should be completed where possible within ten working days. The CHO shall then ensure that the Complaint has been closed in the Complaints Database.
 - e. External Grievance
16. If the CHO determines that a Complaint does not fall within a, b, c or d above, he/she shall classify the Complaint as an External Complaint. An External Complaint is one made by a person who is neither a Client nor a person working for the company in any capacity but which concerns a specific allegation made with substantive evidence in support against KK Security itself or a current contractor or employee (in connection with their performance of services for KK Security).

17. The CHO shall determine how such External Complaint shall be dealt with as follows:

- a. If the CHO is of the reasonable belief, after obtaining the advice of the Legal Department, that the Complaint is a criminal matter requiring the notification of the appropriate external authorities, he/she shall pass the Complaint to the KK Security Oversight Board (OB). If the OB confirms the CHO's view, the CHO shall inform the appropriate external authorities of the Complaint. KK Security shall provide all reasonable assistance to the appropriate external authorities under such circumstances. Irrespective as to how any external authorities decide to proceed with and resolve the Complaint from a legal or regulatory perspective, KK Security shall in any case deal with the Complaint internally in accordance with this Complaints Procedure.
- b. If the CHO is of the reasonable belief that the Complaint is (i) not a criminal matter requiring the notification to the appropriate external authorities and (ii) without foundation, merit or substance, he/she may pass the Complaint to the Legal Department with a recommendation that it should not be pursued further. This provides an opportunity for a second review and for the Legal Department to consider any additional internal work required (for example, any communications requirements).
 - (1) If the Legal Department agrees with the determination of the Complaints Handling Officer in Paragraph b above, the CHO will send an email to the complainant within five working days advising them that the Complaint will not be investigated further. The Complaint will then be closed in the Complaints Database.
 - (2) If the Legal Department disagrees with the determination of the CHO in Paragraph a and opines that the Complaint (i) concerns the allegation or fact of death or serious injury, (ii) would be of interest to governmental authorities, (iii) relates to or derives from external audit or investigation or (iv) has or is likely to have any press involvement, the CHO shall pass the Complaint to the OB (copying the Ethics Committee) with a recommendation for action. The OB will then (i) appoint a suitable person to investigate the Complaint ("Investigating Officer") and (ii) instruct the CHO to advise the complainant, within fifteen working days of the Complaint, as to the Complaints Procedure. The suitability of a particular Investigating Officer in respect of a particular Complaint is at the sole discretion of the OB although the likelihood of the Investigating Officer remaining independent of the Complaint or the process of its investigation shall be an important consideration. The OB will also have regard to the potential need to appoint a Reviewing Officer if an Appeal is made (see Para 19 – Appeal).
- c. If the CHO determines that the Complaint is neither (i) a criminal matter under Paragraph a above nor (ii) falls under the categories of Complaint set out in Paragraph 5 above, but does appear to have foundation, merit or substance, he/she will assess the severity of the Complaint, after consulting with the Legal Department, and will then determine how the Complaint should be handled in line with the Complaints Procedure.
- d. If the CHO, following consultation with the Legal Department, determines that the Complaint is (i) not of a serious nature and (ii) concerns events which took place three years or more before the filing of the Complaint, he/she will (i) inform the complainant that the Complaints Procedure is complete and (ii) close the Complaint in the Complaints Database. This process should typically be completed within twenty working days, but if it is likely to take longer the complainant should be so advised.
- e. If the CHO determines that the Complaint is (i) not of a serious nature and (ii) concerns events which took place less than three years before the filing of the Complaint, the CHO shall transfer the handling of the Complaint to the Legal Department (copying the OB). The Legal Department will then appoint an Investigating Officer. The Complaints

Handling Officer will advise the complainant as to how the Complaint will be handled under the Complaints Procedure.

f. If the CHO determines that the Complaint is of a serious nature, he/she will pass the Complaint to the OB with a recommendation as to action (copying the Ethics Committee Board). The OB will take the decision on appointing an Investigating Officer to investigate the Complaint. The CHO will advise the complainant as to how the Complaint will be handled under the Complaints Procedure.

g. The Investigating Officer appointed under Paragraphs b (2), e and f above will examine the substance of the Complaint thoroughly and shall interview persons that they deem relevant to the proper conduct of the investigation. The Investigating Officer shall only be required to use reasonable efforts to pursue his/her enquiries in order to come to an objective and reasonable view of the Complaint. The findings and recommendations reached by the Investigating Officer will be reviewed by representatives of the OB and if necessary approved by the Ethics Committee.

h. Following the conclusion of the investigation, the CHO will inform the complainant (i) whether any action will be taken and (ii) that he/she has the right to appeal (see below). Unless the CHO deems any explanation of the decision to be necessary, there is no requirement for any explanation as to the reasons for the decision to be given to the complainant. The OB, and where appropriate the Ethics Committee, will be advised how the Complaint was resolved.

APPEAL

18. The complainant is entitled to appeal the decision reached ("Appeal"). The consideration of the Appeal is confined to the following:
 - a. Investigation and confirmation that the correct procedures were followed in respect of the handling of the Complaint;
 - b. Confirmation that all documentation that was provided for the consideration of the Complaint by the Investigating Officer was reviewed; and
 - c. Confirmation that all steps that could and should reasonably have been taken to investigate the Complaint based on the evidence available were taken by the Investigating Officer.
19. If the complainant informs the CHO (or any other person at GardaWorld IPS who will then refer the complainant to the CHO) that he/she wishes to lodge an Appeal, the CHO shall act as follows:
 - a. In the event that the Complaint was handled by the CHO, he/she shall inform the OB who shall then be responsible for the appointment of a person unconnected with the Complaint and its initial investigation to review the handling of the Complaint ("Reviewing Officer"); or
 - b. In the event that the Complaint was handled by the OB, the CHO shall inform the Ethics Officer who, in consultation with the chairman of the OB, shall then be responsible for appointing the Ethics Committee who will subsequently appoint a Reviewing Officer.
20. The CHO shall then advise the complainant within ten working days that the Appeal is being considered and confirm the basis upon which the Appeal is being undertaken.

21. Following the conclusion of the Appeal, the CHO shall inform the complainant whether or not the Appeal has been upheld. The CHO shall confirm to the complainant that the Appeal has been undertaken in accordance with its parameters and clarify any findings that they deem necessary, following consultation with the Legal Department. The complainant should typically be informed as to the outcome of the Appeal within five working days following the conclusion of the Appeal, but if it is likely to take longer the complainant should be so advised.

COMPLETION OF COMPLAINTS PROCEDURE

22. In the event that the complainant decides not to pursue an Appeal or following the completion of the Appeal, the CHO shall, within ten working days, convene a meeting to be chaired by a representative of the Legal Department or the OB (depending upon which of them appointed the Investigating Officer for that particular investigation). The purpose of such meeting shall be to:
 - a. Confirm whether the Complaints Procedure was properly followed in respect of this particular Complaint;
 - b. Recommend whether as a result of the dealing with this Complaint, the Complaints Procedure should be reviewed and potentially amended and;
 - c. Recommend whether any other KK Security policies and procedures should be reviewed in the light of any substantive findings or evidence gathered as a result of the investigation of the Complaint.
23. Following the meeting, the CHO will provide the Legal Department and the OB with a copy of the minutes and close the Complaint within the Complaints Database. The OB will regularly report to the Ethics Committee in connection with the operation of this Complaints Procedure.

CONTINUAL IMPROVEMENT

24. KK Security will take every possible step to monitor the source of complaints, analyse associated trends and take steps to prevent the recurrence of the sources of complaints. The Complaints Process is itself a source of continuous learning. KK Security shall therefore ensure that the lessons identified during the investigation of complaints, after-action reviews and management reviews are recorded and learned.

REFERENCE DOCUMENTS

REFERENCES

25. ISO 18788:2015 Management System for private security operations
26. ANSI/ASIS PSC.1-2012 Management System for Quality of Private Security Company Operations – Requirements with Guidance
27. ISO 9001:2008 Quality management systems

ANNEXES

28. Annex A – Complaints Procedure Flowchart

APPENDICES

29. None

FORMS

30. None.