

We Listen, We Act, We Remedy

Grievance and Remediation Process



ABSugar

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Introduction

Finding appropriate approaches to handle grievances and complaints is extremely important. We have a good track record of addressing complaints effectively and in a timely manner so as to ensure good relationships with all stakeholders, but there is always more we can do.

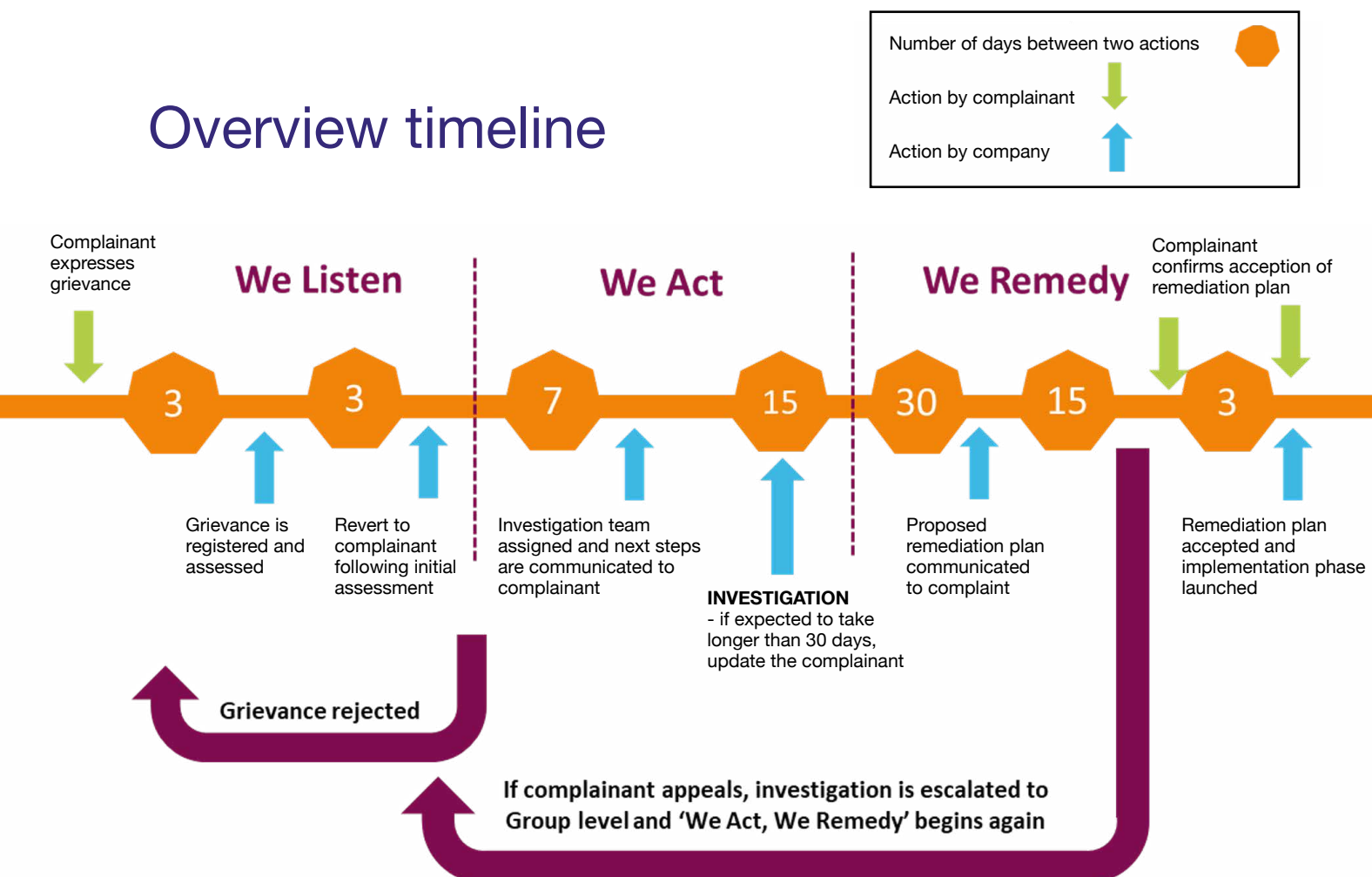
Our experience shows that a significant number of grievances arise from misunderstandings, and so through maintaining our consistent engagement with both our teams and communities, it supports us to minimise grievances received.

Latest good practice from the International Finance Corporation* (IFC) on grievance mechanisms suggests these three simple steps:

1. **We Listen** - by ensuring we publicise our grievance management procedure and by tracking grievances received
2. **We Act** – by reviewing and investigating grievances
3. **We Remedy** – by developing resolution options and preparing a response which will be monitored, documented and evaluated

*The IFC is the sister organisation of the World Bank and member of the World Bank Group and is the largest global development institution focused on the private sector in developing countries. It has set two goals for the world to achieve by 2030: end extreme poverty and promote shared prosperity in every country.

Overview timeline



Chapter 1: We listen to our supply chains, employees and communities

To support our work on keeping all workers in our supply chains safe, particularly from modern slavery, it is important to think about a grievance and remediation mechanism if there is not already one in place. The aim is to have a grievance remediation mechanism so that potential victims can communicate with us and we can take action if needed.

This mechanism is not for grievances related to employment conditions that are not related to Human Rights abuse, such as additional hours, salary grievances or annual leave days among others; these should be reported directly to your Human Resources team. Contractors should also have their own well communicated grievance remediation mechanism. However, in the absence of a functional grievance remediation mechanism, we can expect to receive grievances related to contractors for action.

Let the public know

Once a grievance remediation mechanism is created, you can start to advertise throughout your supply chain and local community.

There are multiple ways to do this, from creating a section on your website through to engaging with community leaders to promote the Grievance Remediation Mechanism.

How will your grievance be received?

Grievances can be received in different forms, such as:

- Directly via letters, emails, telephone calls or at physical meetings
- Through company digital and social channels
- Through the community committee representatives where they exist
- Through the community liaison agents, where appointed

Who receives grievances?

Anyone in the business can receive a grievance, however at an operational level the General Manager (GM)/Managing Director (MD) is the single point of contact, unless they nominate an alternative single point of contact (SPOC). This single responsibility is to ensure confidentiality and accountability throughout the process.

Therefore, every grievance received needs to be channelled through to the GM/MD/SPOC within a maximum of three working days, as per good practice.



Confidentiality and privileged information

Anonymity needs to be maintained throughout the process and investigations treated confidentially. Under no circumstances should names be disclosed outside the grievance channels. In the case of allegations of human rights abuse, the names of the victims as well as the alleged perpetrators, will be changed or redacted in **ALL** communications internal and external.

In order to maintain the legally privileged character of the information, the GM/MD will refer the outcome of any investigation and recommendations to a Legal Expert prior to engaging with the complainant.

Keeping track of grievances

The GM/MD will be responsible for receiving and keeping track of all grievances. Grievances received verbally or through a third party will be translated into dated grievance forms.

Grievance forms should provide a case number and be consigned through a grievance log which can form part of your due diligence approach. An example of grievance log template can be found within Appendix 1.

All complaints must be recorded and reviewed on a monthly basis to avoid any arbitrary decisions.

The grievance log should record:

- Date, time and format of grievance received
- Type of grievance



- Assigned investigation team and respective roles and responsibilities
- Response timeframe
- Action taken and decision made
- Date and type of communication on decision made.



What type of grievances could we receive?

You could receive a breach against areas shown within the Associated British Foods Code of Conduct as shown in the table below:

ABF Code of Conduct Examples grievances	
Employment is freely chosen	<ul style="list-style-type: none"> • Forced or compulsory labour in any form, including bonded, trafficked or prison labour; • Workers required to lodge 'deposits' or identity papers with employer; • Restricted from freely leaving their employer after giving reasonable notice
Freedom of association and the rights to collective bargaining are respected	<ul style="list-style-type: none"> • Workers restricted from joining or forming trade unions; • Workers not allowed to bargain collectively; • Discrimination of union representatives (e.g. denied access to carry out functions); • Employer hinders development of parallel means for freedom of association/collective bargaining where these practices are restricted by law
Working conditions are safe and hygienic	<ul style="list-style-type: none"> • Un-hygienic working conditions; • No access to clean toilet facilities; • No access to potable water; • Accommodation does not meet basic needs of works (unsafe, dirty, etc.); • Unsafe working environment which doesn't take reasonable precautions to avoid hazards; • No health and safety training provided
Child labour shall not be used	<ul style="list-style-type: none"> • A child (less than 15 years of age or whatever age is recognised by law) is employed in a way that deprives them of opportunity to attend school or interferes with their schooling; • A child or young person under 18 years old is employed at night or in hazardous conditions
Land acquisition	<ul style="list-style-type: none"> • Encroachment; • Land grabs; • Access to land and natural resources is restricted; • No Free, Prior and Informed Consent
Living wages are paid	<ul style="list-style-type: none"> • Wages and benefits do not meet national legal standards or industry benchmark standards (whichever is higher); • Wages don't meet basic needs or provide some discretionary income; • Workers not informed about their employment conditions in respect to wages before entering employment; • Deductions made from wages for disciplinary reasons; • Wage deductions not provided for by national law made without expressed permission of the worker
Working hours are not excessive	<ul style="list-style-type: none"> • Working hours breach national laws and benchmark industry standards (whichever has the greater protection); • Workers regularly required to work in excess of 48 hours per week; • Workers not given at least one day off for every seven-day period on average; • Compulsory overtime; • Voluntary overtime exceeds 12 hours per week; • Overtime demanded on a regular basis; • Overtime not compensated at a premium rate
No discrimination is practiced	<ul style="list-style-type: none"> • Discrimination in hiring, compensation, access to training, promotion, termination or retirement based on race (except under provisions specific to South Africa), case, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation
Regular employment is provided	<ul style="list-style-type: none"> • Employers avoiding obligations for regular employment under labour/social security laws and regulations through using: <ul style="list-style-type: none"> o Labour-only contracting, subcontracting or home-working arrangements o Apprenticeship schemes with no real intent to impart skills or provide regular employment o Excessive use of fixed-term contracts
No harsh or inhumane treatment is allowed	<ul style="list-style-type: none"> • Physical abuse of discipline; • Threat of physical abuse, sexual or other harassment; • Verbal abuse • Any other forms of intimidation
Confidentiality	<ul style="list-style-type: none"> • Confidential information used for illegal purposes or individual gain • False information given during commercial negotiations
No bribery or corrupted will be tolerated	<ul style="list-style-type: none"> • Offering, paying, soliciting or accepting bribes or kickbacks, including facilitation payments • Bribery made by or through a third party (e.g. agent, representative or intermediary) • All types of monetary (cash, loans, etc.) and non-monetary bribes (e.g. lavish gifts/entertainment provided in context of business negotiations)
Environmental management	<ul style="list-style-type: none"> • Breach in compliance with current legislation (e.g. effluent, pollution, chemicals, etc.)

Assessing Grievances

Screening of grievances will require Legal expertise. If necessary, the GM/MD should consult with their Legal department or other HR expertise on a case-by-case basis before acting on the grievance.

Should the issue relate to the practices or behaviour of suppliers, the supplier will be notified that an issue has been raised. We may choose to withhold certain detailed information to protect the anonymity of the complainant or the workers involved in the alleged grievance. The supplier should be invited to participate fully throughout the grievance process and in the remediation process.

However, as part of your supplier procurement process we should seek to proactively ensure that large suppliers have their own Grievance Remediation Mechanism process and/or support those suppliers who may need to improve their systems.

In all cases of grievances received, including those redirected to suppliers, all complaints need to be recorded within your logbook, including reasons for any form of redirection.

The only claims which should be directed outside your business Grievance Remediation Mechanism are listed in the table below:

- Complaints constituting **criminal activity** and violence: In these cases, complainants should be referred to the formal justice system
- Issues **related to governmental policy** and government institutions: The private sector is encouraged by the UN Guiding Principles (UNGPs) to try and address the accountability gap created by weak implementation or the absence of governmental regulations, especially where communities are exposed to human rights violations, environmental degradation, and poverty. It is not uncommon for communities to use company grievance mechanisms to bring complaints related to aspects of project implementation that are a responsibility of, and implemented by, public institutions and their officials—for example, issues related to the resettlement process handled by local governments for the project needs. Communicating clearly to communities

about the role, responsibilities, and limitations of a company mechanism is a must, but it may not suffice in practice. Governments may not have enough capacity (either resources or processes) to handle grievances or they may be inaccessible to affected communities. At a minimum, such grievances can be captured through the company system, and then the companies may choose to pass the grievances along to relevant authorities and through appropriate channels letting the communities know how to follow up the submission through supporting guidance activities.

Summary – We Listen

- ✓ Inform our stakeholders they can contact us, and we are ready to listen
- ✓ Communicate the Grievance Remediation Mechanism procedure throughout your supply chains and surrounding communities
- ✓ MD/GM are to receive all grievances within three days of receipt
- ✓ All grievances are to be treated confidentially and in accordance with Grievance Remediation
- ✓ Any grievance relates to modern slavery, child labour, forced Labour, inhumane treatment or sexual harassment, the GM/MD is to inform the Head of Advocacy for AB Sugar within 24 hours
- ✓ For any other grievance, the GM/MD has seven days to form an investigation team
- ✓ Grievances to be logged in a grievance logbook to ensure they can be recorded and monitored throughout the process duration
- ✓ Throughout the process, the GM/MD to be assisted by the Communication team to ensure appropriate stakeholder management whilst maintaining confidentiality and anonymity
- ✓ The GM/MD to consult with their Legal departments when assess grievances

Chapter 2: We act by reviewing and investigating grievances

The next steps in the process of a grievance being received and registered are:

Informing your senior management

Where appropriate, senior management are to be fully informed and assigned responsibilities and time frames for handling investigations.

In the absence of the GM/MD, the company secretary and/or nominated deputy, is to be informed of all grievances received or if any grievance has been received relating to child labour, forced labour or sexual harassment, the timeframes as noted within Chapter 1 are to be applied.

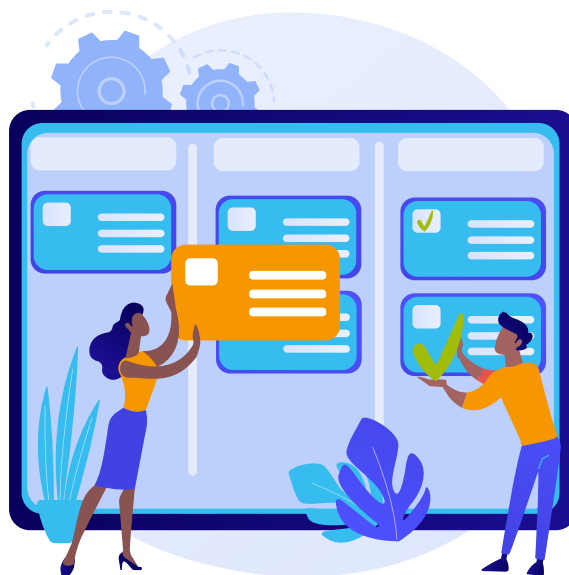


Appointing your investigation team

Where required, each business division will appoint one person to support with investigations should a particular grievance call upon the division's expertise. The GM/MD and the legal representative will choose members of the investigation team based on the nature of the grievance received and expertise within their business. The role of the legal representative within the investigation is to ensure legal compliance of the proposed remediation, as well as ensuring information

remains privileged and providing counsel to both GM/MD and working with the communication team, where necessary.

The appointed members of the investigation team should have no material, personal, or professional interest in the outcome and no personal or professional connection with complainants or witnesses. If this is not possible, it is the responsibility of the team member to disclose such interests immediately. At all times, the investigation team need to demonstrate inclusiveness and diversity sensitivity relating to the grievance. Inclusivity considerations are to include gender, age, nationality and ethnicity as a minimum.



Developing clear tasks and responsibilities.

It is the role of the investigation team to develop a clear list of tasks and outcomes that the investigation is expected to achieve, as well as develop an investigation plan, collection of supporting evidence and produce an investigation report.

The first investigation report must be communicated to the complainant within 15 days of the grievance received. Should the investigation team foresee that the deadline will not be met, a communication and justification of the delay should be documented and submitted to the complainant as soon as possible.

Of course, the investigation team may call upon reputable, trustworthy third-party experts to assist with the investigation and subsequent implementation of the remediation activity, if found to be applicable. Building relationships with trustworthy third parties takes time and it is advised where possible, relationships with potential partners should be established prior to rolling out your Grievance Remediation Mechanism.

For further guidance, please contact Head of Advocacy within AB Sugar.

Where appropriate, the investigation team may carry out site visits to gather physical evidence of the complainant's story and in order to clarify the particular circumstances of the incident. As advised by the International Finance Corporation (IFC), site visits can be useful at the beginning of an investigation to avoid any change in physical evidence that may happen over time and should be documented.

Where a potential grievance issue is identified that may involve law enforcement authorities, the site visit should only be undertaken after due consideration of how that may affect the agency's ability to prosecute in the future. The Legal team may advise on such matters.

The investigation period should not exceed 30 days, but if the investigation team foresee, they may need longer, the GM/MD should inform the complainant within the first 15 days of the imparted time.



Conducting interviews and visiting sites

It is expected that interviews will be carried out with complainants, members of the supply chain or community, as well as potentially internal employees, workers, etc., that have been incriminated by the complainant. It is important that confidentiality and anonymity is maintained throughout the interview process and use triangulation methods to verify information collected.

Summary – We Act

- ✓ Senior management is informed and involved in the investigation team, where appropriate
- ✓ The investigation team involves experts from the relevant departments within your business, AB Sugar or ABF
- ✓ A member of the Legal team is part of the investigation team
- ✓ The investigation relies on interviews, site visits and triangulation methods, where appropriate
- ✓ During the investigation, the team will collect suggestions for remediation from the various stakeholders
- ✓ Confidentiality and anonymity to remain at all times

Chapter 3: We remedy by developing resolution options and preparing a response

Developing resolution options

Following the investigation period, a draft remediation plan is to be presented to the legal representative of the investigation team, and thereafter to the GM/MD. This remediation plan should include recommendations collected from the complainant and other stakeholders during the investigation process, as well as clear deliverables against a defined timeline for implementation to be monitored and allocation of necessary resources (range from resource, financial and material).

Once approved by the GM/MD, the proposed remediation to the grievance is to be presented by letter, and where possible in person, during a follow-up person to the complainant. The complainant has 15 working days to approve or decline the proposed remediation plan and must be made aware at the onset there is the option to appeal against the initial proposal and escalate through an additional process. As part of appeal, the complainant will need to articulate their reasons of rejection if choosing to escalate the issue further.

Managing appeals received to the proposed remediation plan

Should the complainant decline the proposed remediation, the grievance will be escalated to the Managing Director or the Group Managing Director (GMD).

The request for appeal is to be communicated at Group Level by Senior Management, addressed to the GMD, Group Legal Department, Group Safety Health Environment Risk & Quality (SHERQ) Manager.

The Group Grievance Committee is composed of the GMD, Group Legal Department, Group SHERQ Manager and a Group Senior Manager with related expertise, pre-identified and called upon on a case by case.

The Group Grievance Committee will review the Grievance and amend or retain the proposed remediation plan accordingly within 30 days from the reception of the appeal.

- The Group Grievance Committee may advise on the intervention of a Third Party to further investigate and work on a remediation plan with the complainants under a fixed timeline for further work and resolution

Should the complainant reject the ultimate proposal, the complainant may opt to take their grievances to a dispute resolution mechanism outside of the company grievance mechanism.



Communicating the decision

Balanced and sensitive communication with the complainant is key at every step of the investigation process, regardless of the outcome as ill-informed or judged communication can have a detrimental impact on the investigation outcome.

It is in everyone's interests that the complainant is kept informed of all actions taken and any remediation plans completed to ensure there is no personal, reputation or legal risk to the claimant or business at a later stage.



The grievance claim is rejected

In these instances, no further action will be taken however, demonstrating no action required is to be documented in the response to the claimant and the grievance logbook. This is to be managed in a culturally sensitive, balanced and diplomatic tone when communicating this outcome. It is suggested a detailed and respectful explanation is scripted, together with compelling evidence that supports this decision is presented to aid preventing a conflict from escalating further.



The grievance claim is accepted

The immediate response is to confirm that the grievance has been received and accepted, outlines the investigation timeframe the investigation team will be working to, and invites the complainant to a formal meeting to obtain additional information and collect any further evidence.

The final response will communicate the remediation proposal, stipulate any mutual commitments, seek

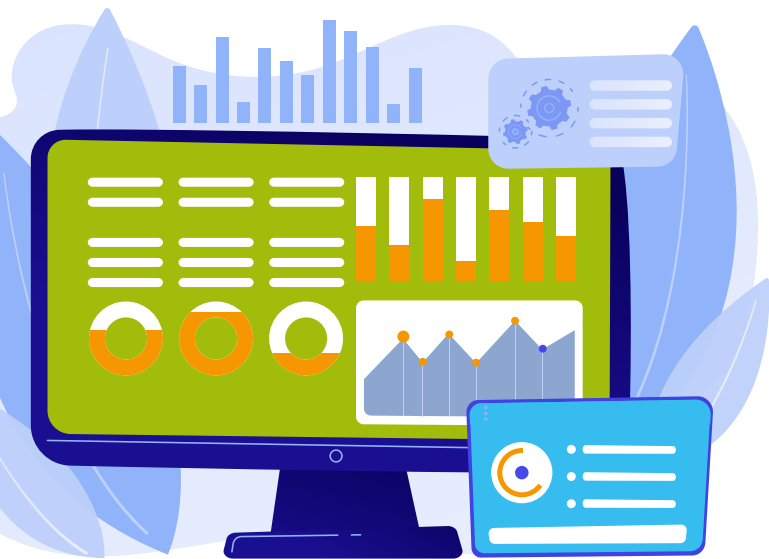
the complainant's agreement and ensure they are aware of the appeal process should they not wish to accept the proposed remediation.

Closing out the case

The case can only be considered as closed out, once an agreement has been reached with the complainant and the business. Steps to ensure that completion has been agreed by both parties is following completion of the agreed corrective actions, is to record these in the grievance logbook. Example of which can be:

- Photos and other documentary evidence to form a comprehensive record of the grievance and how it was resolved.
- Record of resolution internally, with the date and time it took place, and have responsible staff sign off (grievance logbook, database).
- Minutes of the closing meeting with the complainant to reach a collective agreement to close out the claim or move to an externally based mechanism or solution.
- Once the issue is resolved to the satisfaction of the complainants, or moved outside of the grievance mechanism, document the confirmation and file it along with the case documentation.





Implementing monitoring, reporting and evaluation

This final step is critical in being able to assess the efficiency of the process, identify recurring problems that might require structure change and ensure we can report back to key our stakeholders. It is also key in ensuring that recommendations have been implemented successfully according to the plan.

Implementing according to the remediation plan

Implementation by the relevant department is verified by the GM/MD, progress monitored, and senior management is informed on a weekly basis:

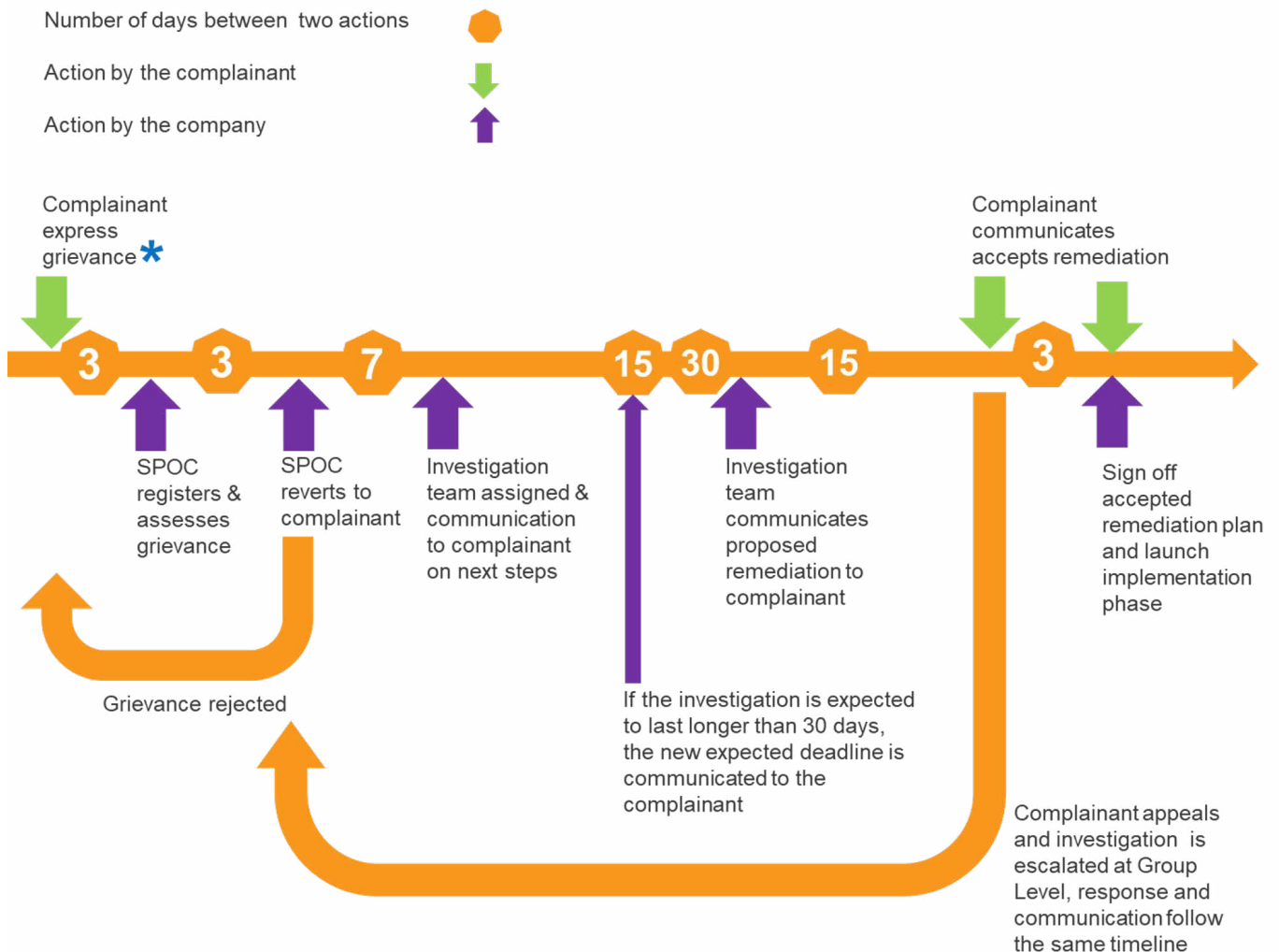
- If the grievance points at a problem of systematic behaviour, practice, or consequence that can be improved, the GM/MD has the option to mandate implementation and monitoring of the improved practices
- In the case of grievances against suppliers, regular monitoring and supporting communications with the supplier will take place to ensure the remedial action has been enacted and sustained within their own systems.



Summary – We Remedy

- ✓ Develop resolution options to be presented to the legal representative on the investigation team and thereafter to the GM/MD
- ✓ Think about recommendations collected from the complainant and other stakeholders
- ✓ As well as clear deliverables against a defined timeline for implementation to be monitored
- ✓ If the complainant declines the proposed remediation, escalate the grievance to the Group Managing Director (GMD)
- ✓ Ensure balanced and sensitive communication with the complainant at every step of the investigation process, regardless of the outcome
- ✓ Only once an agreement has been reached with the complainant and the business can a case be considered for close-out
- ✓ Always implement monitoring, reporting and evaluation to ensure any recommendations have been implemented successfully against the set timeline

Timeline Summary



In case the grievance is an allegation of child labour, forced labour or sexual harassment the GM/MD will inform senior management **verbally with 24 hours**, where appropriate, and the Head of Advocacy for AB Sugar. The in-country Child Protection Agency's will lead the investigations.

Appendix 1: Example grievance logbook

Strictly Confidential																	
Grievance LogBook																	
Date of incident _____	Case Number : XYZ/ABC/MMYYYYY																
Reported by (employee) : _____	Employee number _____																
Received from (external): _____ <input type="checkbox"/> Tick if the person wishes to stay anonymous throughout the process																	
Contact details _____																	
Received via:	Telephone <input type="checkbox"/> Letter <input type="checkbox"/> Email <input type="checkbox"/> Direct meeting <input type="checkbox"/> Other <input type="checkbox"/>																
Type of grievance:	<table border="0" style="width: 100%;"><tr><td>Child Labour <input type="checkbox"/></td><td>Freedom of association <input type="checkbox"/></td><td>Working hours <input type="checkbox"/></td><td>Bribery <input type="checkbox"/></td></tr><tr><td>Forced Labour <input type="checkbox"/></td><td>Safety and hygiene <input type="checkbox"/></td><td>Discrimination <input type="checkbox"/></td><td>Environmental Impact <input type="checkbox"/></td></tr><tr><td>Sexual Harassment <input type="checkbox"/></td><td>Land aquisition <input type="checkbox"/></td><td>Regular employment <input type="checkbox"/></td><td></td></tr><tr><td>Inhumane treatment <input type="checkbox"/></td><td>Living wage <input type="checkbox"/></td><td>Confidentiality <input type="checkbox"/></td><td></td></tr></table>	Child Labour <input type="checkbox"/>	Freedom of association <input type="checkbox"/>	Working hours <input type="checkbox"/>	Bribery <input type="checkbox"/>	Forced Labour <input type="checkbox"/>	Safety and hygiene <input type="checkbox"/>	Discrimination <input type="checkbox"/>	Environmental Impact <input type="checkbox"/>	Sexual Harassment <input type="checkbox"/>	Land aquisition <input type="checkbox"/>	Regular employment <input type="checkbox"/>		Inhumane treatment <input type="checkbox"/>	Living wage <input type="checkbox"/>	Confidentiality <input type="checkbox"/>	
Child Labour <input type="checkbox"/>	Freedom of association <input type="checkbox"/>	Working hours <input type="checkbox"/>	Bribery <input type="checkbox"/>														
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Sexual Harassment <input type="checkbox"/>	Land aquisition <input type="checkbox"/>	Regular employment <input type="checkbox"/>															
Inhumane treatment <input type="checkbox"/>	Living wage <input type="checkbox"/>	Confidentiality <input type="checkbox"/>															

Inform AB Sugar contact person within 24 hrs

Description of incident:

Location:

Person involved: (name, name of contractor, vehicle registration)

Name and details of witnesses:

Details of the incident:

Immediate action taken (if any):

Suggested, requested remediation:

If you are filling this form, hand it over to the Single Point Of Contact, on your site the SPOC is XXXXXXXX YYYYYYYY , email address XXXXXXXXX@Company.com within the next 3 working days





AB Sugar

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