



**THAILAND SMELTING AND REFINING CO.,LTD**

# **GRIEVANCE MECHANISM PROCEDURE**

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**THAILAND SMELTING AND REFINING CO.,LTD | T H A I S A R C O**

80 Moo 8, Sakdidej Road, T.Vichit, A.Muang, Phuket 83000, Thailand

Tel : 076-371111, Fax : 076-371120



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## **1. INTRODUCTION**

The purpose of this document is to formalize the management of grievances from Thaisarco's stakeholders to minimize the supply chain risks to the business. The grievance process, outlined in the document, provides an avenue for stakeholders to voice their concerns and gives transparency on how grievances will be managed internally, all of which aims to improve the responsible in the supply chain.

## **2. SCOPE**

The grievance mechanism procedure applies to all external stakeholders of our operations. This procedure does not cover grievances raised by internal stakeholders, such as employees, who should refer to Thaisarco's internal grievance procedures.

## **3. TERMS/DEFINITIONS**

**Grievance:** An issue, concern, problem, or claim (perceived or actual) that an individual or community group wants addressed by the company in a formal manner.

**Grievance Mechanism:** A formalized way to accept, assess, and resolve community complaints, concerning performance or behavior of the company, its contractors, or employees, includes adverse supply chain, environmental and social impacts.

**Internal Stakeholders:** Groups or individuals within a business who work directly within the business, such as employees and contractors.

**External Stakeholders:** Groups or individuals outside a business who are not directly employed or contracted by the business but are affected in some way from the decisions of the business, such as customers, suppliers, community and the government.

## **4. GRIEVANCE REPORTING CHANNELS**

Thaisarco will communicate this procedure to its external stakeholders to raise awareness and offer transparency of how stakeholders can voice their grievances. Various channels for external stakeholders to voice their grievances include:

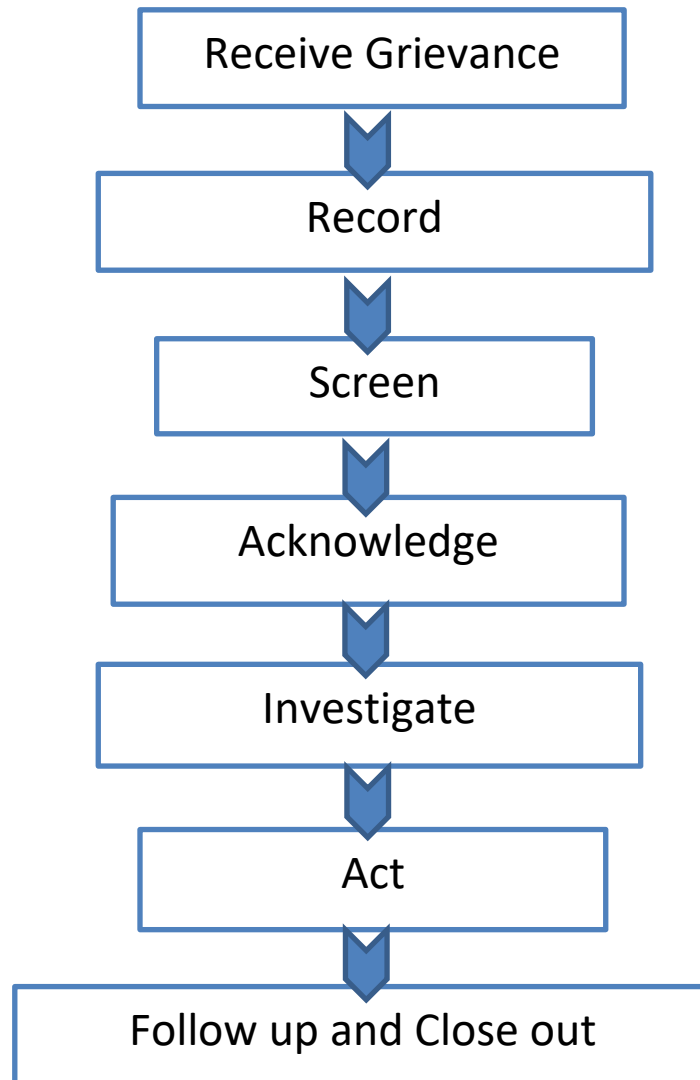
- Telephone : Stakeholders can contact stakeholder contact officers as follows
  - Procurement Director at +6676371-111 ext. 1501; or
  - Procurement Manager at +6676371-111 ext. 1504.
- Email: Grievances can be sent to [warit@thaisarco.com](mailto:warit@thaisarco.com) or [rapee@thaisarco.com](mailto:rapee@thaisarco.com).
- Online form: Stakeholders can complete a grievance form on our website [www.thaisarco.com](http://www.thaisarco.com).

## 5. ROLES AND RESPONSIBILITIES

Roles	Responsibilities
Stakeholder Contact Officer	<ul style="list-style-type: none"> <li>• Receive grievances and assign a grievance owner.</li> <li>• Ensure the grievance mechanism procedure is being followed correctly.</li> <li>• Liaise with the external stakeholder(s).</li> <li>• Maintains grievance register and monitor any correspondence.</li> <li>• Monitor grievances and report findings to Managing Director.</li> <li>• Raise internal awareness of the grievance mechanism among employees and contractors.</li> </ul>
Grievance Owner	<ul style="list-style-type: none"> <li>• Investigating the grievance and liaising with the stakeholder contact officer.</li> <li>• Developing resolutions and actions to rectify any issues.</li> <li>• Follow up and track progress of grievance</li> </ul>

## 6. GRIEVANCE MECHANISM PROCESS

The flowchart below describes the grievance mechanism process to resolve any grievances:





### 6.1 Receive Grievance

#### Over the phone

If a grievance is received over the phone, the stakeholder contact officer will complete a Grievance Lodgement Form (see annex I) for further processing.

#### Electronic

The stakeholder contact officers receive all grievances that come through via email or Thaisarco's website. The stakeholder contact officers will review the grievance form and process the grievance in accordance to this procedure.

### 6.2 Record

All formal grievances will be logged in the External Grievance Register (see annex II) for record of correspondence.

### 6.3 Screen

Grievances will be screened depending on the level of severity in order to determine the grievance owner and how the grievance is approached. See below table categorizing the different levels:

Category	Description	Grievance Owner
Level 1	When an answer can be provided immediately and/or Thaisarco are already working on resolution.	Stakeholder Contact Officer
Level 2	One off grievances that will not affect Thaisarco's reputation.	Supervisor level or above
Level 3	Repeated, extensive and high profile grievances that may damage Thaisarco's reputation.	Managing Director or above

### 6.4 Acknowledge

A grievance will be acknowledged by the stakeholder contact officer, within five working days upon receipt of a grievance. Communication will be made either verbally or in written form. Stakeholders will outline their preferred method of contact on the Grievance Lodgment Form, see Annex I.

The grievance acknowledgement should include a summary of the grievance, method that will be taken to resolve the grievance and an estimated timeframe in which the grievance will be resolved. If required, the stakeholder contact officer may ask stakeholder/s for any additional information or to clarify any issues.



### 6.5 Investigate

The grievance owner together with the stakeholder contact officer is responsible for investigating the grievance. The investigation may require the grievance owner to make site visits, consult employees, contact external stakeholders and complete other activities.

Records of meeting, discussion and activities need to be recorded during the investigation. Information gathered during the investigation will be analyzed and will assist in determining how the grievance is handled and what steps need to be taken in order to resolve the grievance.

### 6.6 Act

The grievance owner is responsible for assigning actions, monitoring actions undertaken and meets the deadlines. Once all actions have been completed and the grievance owner feels the grievance has been resolved, the grievance owner will then inform the stakeholder contact officer to further advise the external stakeholder/s via their preferred method of contact.

### 6.7 Follow up and close out

The stakeholder contact officer will contact the external stakeholder/s four weeks after the grievance is resolved to verify that the outcome was satisfied and also gather any feedback on the grievance process.

If required, the stakeholder contact officer may need to follow up with the external stakeholder on numerous occasions to confirm all parties are satisfied.

## **7. APPEAL**

If the external stakeholder(s) are not satisfied with the resolution and/or does not agree with the proposed actions, then the stakeholder contact officer needs to bring the matter to the attention of the Managing Director who will review the grievance and documents gathered throughout the investigation and determine whether further actions are required to resolve the grievance.

If Thaisarco are unable to resolve a complaint or a stakeholder is not satisfied with the outcome, Thaisarco may seek advice from other independent parties.

## **8. REPORTING**

Information outlining the number of grievances, resolution time and outcomes of grievances will be reported to Managing Director on a monthly basis. Thaisarco will evaluate and update the Grievance Mechanism procedure every three years (or when required) to continually improve its stakeholder engagement.

## **9. STORING OF GRIEVANCES**

All records, including grievance forms, investigation notes, and minutes of meetings will be securely stored on Thaisarco's server with suitable encryption to ensure privacy and confidentiality is maintained for all parties involved.



**Thailand Smelting and Refining Co., Ltd.**

**ANNEX I: GRIEVANCE LODGMENT FORM**



Grievance Lodgment Form

<b>Name :</b>		<input type="checkbox"/> Please do not use my name when talking about this concern in public.	
<b>Company : (if applicable)</b>			
<b>Date :</b>		<b>Time :</b>	
<b>Preferred Contact Method :</b>	<input type="checkbox"/> Telephone <input type="checkbox"/> Email <input type="checkbox"/> Mail Please provide contact details : _____		
<b>Supporting Documents Attached?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>Please provide details of your grievance</b>			





<b>What outcome are you seeking?</b>	
<b>Additional Information</b>	

Claimant Signature:.....

Date : .....

Thaisarco Signature: .....

Date: .....

**Stakeholder Contact Officer use only**

Stakeholder Reference :	Customer <input type="checkbox"/>	Government-Ministry <input type="checkbox"/>
	Supplier <input type="checkbox"/>	Government – Department <input type="checkbox"/>
	Community <input type="checkbox"/>	Government – Local <input type="checkbox"/>
	Other <input type="checkbox"/>	
	Comment :	



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**ANNEX II          EXTERNAL GRIEVANCE REGISTERS**



External Grievance Register

Stake Holder	Date Received	Stakeholder Contact Officer	Grievance Owner	Grievance Level (1,2,3)	Grievance Description	Cause of the Grievance	Outcome	If a resolution was offered please indicate 'accepted' or 'not accepted'	Action/Notes