



*"Creating Life Opportunities"*

## Policy and Procedure # 685

### Complaint Process for Employees

Approval: /S/ Dani Cook

Effective Date: 12/20/2023

#### POLICY:

EFI is committed to ensuring all employees are treated fairly while being employed with the company. Employees shall work in a cohesive, pleasant, productive, safe and healthy work environment at all times. The Human Resource Director will act as the Corporate Compliance Officer, (CCO) to ensure the Board of Directors, management and employees are in compliance with the rules and regulations of the regulatory agencies, company policies & procedures, and the company's code of ethics. EFI will not tolerate or condone a work environment that is disruptive for any reason.

#### PROCEDURE:

1. If for any reason a problem cannot be resolved amongst employees, or the employee feels threatened or fears for their own safety or that of a client, the employee shall use the proper chain of command by:
  - a. Sharing the complaint with the appropriate supervisor. If in doubt regarding what to do or who to talk to consult with Human Resources.
  - b. If you feel that the problem was not resolved in the proper manner, continue with the chain of command; Director, HR Director and Executive Director.
2. If the problem is with your supervisor contact your Director.
3. If the problem is with your Director you may contact the Human Resource Director or the Executive Director.
  - a. If necessary, the Executive Director and/or the HR Director will schedule a meeting with all concerned parties (this does not mean however the meeting will be held with everyone at the same time).
  - b. Investigations will be conducted in a timely manner when necessary.
  - c. A decision will be made regarding the issue, with all said parties notified.
4. In the event that the complaint is against the Executive Director, employees shall submit a written complaint to the Chairman of the Board for review.
5. If you have a concern regarding a violation of the Code of Ethics, Policy and Procedure 120, contact the Human Resource Director.
6. If an employee would like to file an anonymous complaint/grievance they can do so at:  
<https://www.surveymonkey.com/r/S8Q9CTB>



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7. EFI will not condone retaliation or subject anyone to retaliatory behavior for any reason.
8. The above policy is advisory and is the procedure that should, in most circumstance be used. EFI reserves the right to deviate from the foregoing in its sole discretion.