

	Policy 1.3.1 Policy Resolution of concerns	Revisión: 02 Fecha: 03/03/2025 Clasificación: C2 Interno
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1. Objective

The objective of this policy is to provide a prompt, fair and effective means of addressing team member concerns resulting from events occurring in the workplace.

2. Scope

Applies to all WALDASCHAFF MÉXICO employees, external suppliers, third parties, and interested parties.

3. Roles and Responsibilities

Employee: Responsible for notifying the concern or worry under which he/she feels immersed in case he/she is unable to resolve it personally with those involved.

Direct Manager: Responsible for intervening in the conflict to try to resolve it or channel it to the HR department to activate the concern resolution process.

Human Resources: Responsible for receiving, investigating, ruling, and communicating the results of the resolution of the concern expressed by the employee.

General Management: Responsible for intervening and making the final decision in conflicts that, due to their nature or seriousness, require it.

4. Contain

Team members are empowered to, in the first instance resolve their concerns through direct communication with the individual with whom he/she is experiencing an argument. However, at any time the team member may seek guidance through his/her immediate supervisor.

4.1. Resolution

4.1.1 If direct resolution is not effective, Team Members may discuss the concerns with their immediate Supervisor through a request for mediation to resolve the issue. **4.1.2** If the Team Member is not comfortable discussing the concerns with their immediate Supervisor, or if the concern is not reasonably resolved through the Supervisor, or if the problem is related to the employee's immediate Supervisor, the Team Member may formalize the issue, in writing to Human Resources.

4.2 Procedure

4.2.1 Formal concerns procedure.

a).- Team members wishing to formalize a grievance should complete a Concern Resolution Request Form and return the completed document to the Human Resources Department

b).- Human Resources will review the document.

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Concerns of a serious nature, or those involving sexual or other harassment, will be extended to General Management; otherwise, the process will continue to the next step.

- c) Human Resources will meet with the team member to discuss the details of the team member's concern(s).
- d) - Human Resources will collaborate with senior management to determine the appropriate course of action which may include further investigation with team members, team leaders or witnesses to related events.
- e) - The appropriate course of action will be determined and implemented based on the results of the investigation, which may include disciplinary action up to and including termination for cause.
- f) Human Resources will follow up with the team member to inform him/her of the status of the case (i.e., the matter is being investigated, concluded, etc.). To protect confidentiality and safeguard the integrity of the process, details conveyed to team members may be limited.

4.2.2 Concerns of a serious nature.

All matters of a serious nature (including, but not limited to, harassment, workplace violence, discrimination, etc.) will be extended to the General Management.

- a) - The General Manager will meet with the team member to discuss the details of his or her allegation.
- b) If the problem requires further exploration, the Director General will take an active role in conducting a thorough investigation to include interviews with all parties involved in the alleged complaint.
- c).-The appropriate course of action will be determined and implemented based on the results of the investigation, which may include disciplinary action up to and including termination.
- d).-Human Resources will meet with the team member to inform him/her of the status of the case (i.e., the matter is being investigated, concluded, etc.). To protect confidentiality and safeguard the integrity of the process, details conveyed to the team member may be limited.

4.2.3 Non-WALDASCHAFF MÉXICO team member issues

- 5. If team members experience problems with persons outside of WALDASCHAFF MÉXICO, the following actions will be taken after the employee formally submits the Concern Resolution Request Form.
 - a) Human Resources will review the document.

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Concerns of a serious nature, or those involving sexual or other harassment, will be extended to the CEO; otherwise, the process will continue with the step below.

- b) - Human Resources will meet with a team member to discuss the details of the document.
- c) - Human Resources will collaborate with senior management to determine the appropriate course of action which may include further investigation with team members, team leaders or witnesses to related events.
- d) Concerns will be shared with the appropriate representative of the company employing the individual named in the allegation.
 - The company representative will follow their grievance procedure and collaborate with LYWAM representatives on their findings.
 - The appropriate course of action will be determined and executed.
 - The company will determine the course of action and share the results with the WALDASCHAFF MÉXICO Human Resources representative to the extent possible.
- e) - The appropriate course of action will be determined and implemented.
- f) Human Resources will follow up with the team member to inform him/her of the status of the case (i.e., the matter is under investigation, has been concluded, etc.). To protect confidentiality and safeguard the integrity of the process, details conveyed to team members may be limited.

4.3. It is the responsibility of the Human Resources department to enforce compliance with this policy.

4.4. Anything not provided for in this policy will be resolved by the Human Resources department and Management.

5 Reporting Mechanism for Externals, Suppliers, and Third Parties

In addition to the mechanism for employees, WALDASCHAFF MÉXICO has also implemented a system for externals, suppliers, business partners, or any third party related to the organization to confidentially and securely report any suspicion of corruption, bribery, or misconduct.

5.1 Reporting Channels

Suppliers, clients, business partners, and other third parties can file their reports through the following channels:

- **Reporting Email:** Abdiel.perez@wa-mx.com
- **Suggestion and Complaint Box:** A physical or digital box accessible to suppliers and externals to submit their concerns.

5.2.2 Reporting Procedure

- **Receiving the Report:** Once the report is received, the Human Resources Department will review the case confidentially and, if necessary, take the appropriate actions. If the report involves a conflict with WALDASCHAFF MÉXICO staff, the internal conflict resolution procedures will be followed.

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- **Investigation of the Report:** The Human Resources Department or a designated team will investigate the report and collaborate with senior management and/or the responsible party from the external side involved to clarify the facts. This may include interviews or the collection of evidence related to the report.
- **Results and Report:** After the investigation, the appropriate course of action will be determined, which may include sanctions or corrective measures. The results of the process will be shared with the reporting party to the extent possible, ensuring the confidentiality of the information.

5.2.3 Confidentiality and Protection

WALDASCHAFF MÉXICO guarantees that reports made by externals, suppliers, and third parties will be treated with the utmost confidentiality. No retaliation will be allowed against the person who reports in good faith, and any attempt at retaliation will be treated as a serious violation.

5.2.4 Conflict Resolution

If a supplier or third party is involved in a conflict with WALDASCHAFF MÉXICO, they may follow the established concern resolution procedures outlined in this document. To do so, they must formalize their case through the Human Resources Department, which will manage and carry out the resolution process in accordance with the policy.

5. Anexo

5.1 Format "Rec 1.3.14 complaints and suggestions".

WAM has two methods to communicate anonymous the complaints and suggestions of the employees:

- 1) Goggle form link for reports
- 2) Mailbox of complaints and suggestions, which will be reviewed periodically

In both cases an analysis of the report will be done and/or investigation, to assure the correct follow up and conclusion.

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Historial de cambios/ Change History

Revisión Revision	Fecha - Date dd/mm/aa	Modificó Changed by	Cambio Realizado Change implemented	Aprobó Approved by	Liberó Released by	Fecha de liberación Released Date:
0	07/11/2022	Denisse Rodriguez	Creación de document / Document Creation	Denisse Rodriguez	Elizabeth Chavira	07/11/2022
1	21/06/2023	Denisse Rodriguez	Actualización de documento/ Document Update	Denisse Rodriguez	Elizabeth Chavira	21/06/2025
2	03/03/2025	Abdiel Pérez	Actualización de documento/ Document Update	Abdiel Pérez	Yulibeth Díaz	03/03/2025