

**BACKGROUND**

Avendus Capital Private Limited or any of the Avendus Group entities (“Organization”) believes that everyone must get equal opportunity to work, regardless of race, caste, religion, colour, ancestry, marital status, gender, sexual orientation, age, nationality, ethnic origin or disability. It believes that a safe and conducive work environment that enables all to work without fear of prejudice, gender bias and sexual harassment, where employer and employees respect each other’s integrity and dignity, their privacy, their right to equality and right to opportunity in the workplace, is created. It understands that equality in employment can be seriously impaired when individuals are subjected to discrimination by way of sexual harassment at workplace. Each such incident results not only in the violation of fundamental rights of “Gender Equality” and the “Right to Life and Liberty” under Articles 14, 15 and 21 of the Constitution of India but also in the violation of Article 19 (1) (g).

The Indian Parliament has enacted the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act and Rules, 2013 along with all amendments from time to time (“the Law”) with the objective to provide protection against sexual harassment to women at a workplace. Organization recognizes that the Law has been passed as a measure to provide equal opportunity to work for its women population and grant them equality under the Constitution of India. However, Organization also recognizes that other genders aren’t immune to sexual harassment and can experience such behaviour at the workplace.

Organization is committed to work and provide support towards provision of a safe and conducive environment at workplace for all its employees, regardless of gender. Additionally, it is committed to create an ethos of acceptance and inclusivity such that individuals regardless of their sexual orientation or sexual preferences, individuals belonging to LGBTQIA community and individuals choosing to not be in any of the socially constructed communities and adopting a fluid/non-binary approach feel respected and accepted at the workplace. This Manual has been formulated to ensure the fair treatment of individuals, keeping in mind inclusiveness and providing equal opportunities, free from discrimination, harassment and bias, with special emphasis on provisions in the Rights of Persons with Disabilities Act, 2016, the Transgender Persons (Protection of Rights) Act, 2019 and the HIV/AIDS (Prevention & Control), Act 2017, amongst other rules and regulations. The Organization has also adopted the HIV and AIDS Policy notified by the Central Government in this regard.

In light of the above, Organization has formulated this policy against sexual harassment at workplace (“Policy”) as per the Law and, as a healthy practice and as part of internal policies, organization is also extending the benefit of the law to not only its women employees, but also to its other employees who may belong to any gender. Thus, this Policy shall be applicable to complaints of sexual harassment made by anyone against an employee of the Organization.

Our success is based on our people. We treat each other with respect and dignity and expect everyone to promote a sense of personal responsibility. We recruit competent and motivated people who respect our values, provide equal opportunities for their development and advancement; protect their privacy and do not tolerate any form of harassment or discrimination. Organization shall take strict disciplinary action as provided under this Policy against any persons found guilty of sexual harassment, regardless of the gender.

For offices outside India, the policy will be governed by local regulations in case there is a conflict.

## 1. What is sexual harassment?

It is an unwelcome inappropriate behaviour (whether directly or by implication) which includes:

- a) Physical contact and advances including touching, deliberately brushing against another person, interference with an individual's normal work movement or assault.
- b) Demand or requests for sexual favours, offensive or unwelcome flirtations, unwanted sexual advances or propositions, threats or suggestive or insulting sounds.
- c) Making sexually coloured remarks including sexual tones including repeated sexual innuendoes, sexual epithets, derogatory slurs, sexually explicit jokes, letters, phone calls, text, e-mails, WhatsApp or through any other electronic communication etc.
- d) Showing pornography such as derogatory or sexually explicit posters, cartoons, photographs, magazines, drawings, or other printed items; suggestive objects, pictures; emails, screen savers; or other electronic communications; graphic commentaries and leering or obscene gestures.

Any other unwelcome visual, verbal, or physical conduct of a sexual nature.

These circumstances, among other circumstances, if it occurs or if it is present in relation to or connected with any act of sexual harassment, may amount to sexual harassment:

- a) When either implicitly or explicitly it becomes a condition of the individual's present or future employment
- b) Implied or explicit promise of preferential treatment in employment
- c) Implied or explicit threat of detrimental treatment in employment.
- d) The harassment has a purpose or effect of unreasonably interfering with the work performance or creating an environment, which is intimidating, hostile or offensive
- e) Humiliating treatment likely to affect health or safety

Sexual Harassment is not specific to any gender or from any specific gender – it could be Male to Female, Female to Male, Male to Male, or Female to Female or male or female to transgender or any other gender. Everyone must exercise their own good judgment to avoid engaging in conduct that may be perceived by others as Sexual Harassment. In all the above cases, it is not the intention of the person behaving but the impact on the person who is subjected to such behavior that will matter.

## 2. What is a workplace?

**“Workplace”** shall mean all places where Organization’s work is carried out. It shall include:

- a) All offices or other premises where Organization’s business is conducted
- b) All Organization related activities performed at any other site away from Organization’s premises
- c) Any social, business or other functions where the conduct or comments may have an adverse impact on the workplace or workplace relations
- d) Any alleged act of sexual harassment committed during or outside of office hours using any mode of communication including electronic communication
- e) Any sexual harassment on any social networking website during or outside of office hours
- f) Any place visited by Employee or arising out of or during the course of employment with Organization, including transport services provided by Organization for undertaking such journey. For example, Employees who are on overseas programs and trainings in course of their employment with the Organization.

## 3. What is a workplace?

**“Employee”** means a person employed at a workplace for any work on regular, temporary, ad hoc or daily wage basis, either directly or through an agent, including a contractor, with or, without the knowledge of the principal employer, whether for remuneration or not, or working on a voluntary basis or otherwise, whether the terms of employment are express or implied and includes a co-worker, a contract worker, probationer, trainee, apprentice or called by any other such name.

## 4. Who is a visitor/third party?

**“Visitor” or “Third Party”** includes any person who is visiting the Workplace and is not covered by any of the other categories defined by this Policy. For example, guests coming for interviews, meetings, events, programs or people walking in for meeting Employees, etc.

## 5. How are concerns related to sexual harassment redressed?

Organization has constituted an Internal Complaints Committee (“IC”) for receiving and redressing complaints related to Sexual Harassment at Workplace.

**a) Constitution of the IC:**

Below guidelines will be followed for constitution of the IC:

- (i) A senior level woman Employee shall be appointed as Presiding Officer of the IC (“Presiding Officer”). The Presiding Officer shall automatically vacate her office upon ceasing to be Employee of Organization.
- (ii) Minimum two (2) members of the IC will be appointed from amongst Employees who are preferably committed to the cause of women or who have had experience in social work or have legal knowledge in this field. These members shall automatically vacate office upon ceasing to be Employee of Organization.
- (iii) Minimum one (1) member from amongst non-governmental organizations or associations committed to the cause of women or a person familiar with the issues relating to Sexual Harassment. This member shall vacate office upon termination of contract with Organization.
- (iv) At least one-half of the total members nominated to the IC shall be women.
- (v) In case a senior level woman employee that is eligible to be appointed as the Presiding Officer of the IC is not available, a senior level woman employee from other offices or administrative units of the Organisation can be nominated as the Presiding officer. Provided further that in case the other offices or administrative units of the Organization also do not have a senior level woman employee that is eligible to be appointed as the Presiding Officer of the IC, a senior level woman employee from any other workplace of the same employer or other department or organization shall be nominated as the Presiding Officer.
- (vi) The term of the members shall be for three years only. The members, however, can be re-appointed after following due procedures as per the Law.
- (vii) The constitution of the Committee for each location will be announced separately and displayed in respective locations.

All IC members are duty bound to handle all complaints without any bias or partiality towards any party. The term for the IC is a maximum of 3 years.

**b) Power of IC for conducting an Inquiry:**

For the purpose of conducting an inquiry into any complaint received from an Aggrieved Person, the Committee may:

- Summon and enforce the attendance of any person and examine him/her on oath;
- Require the discovery and production of documents; and
- Perform or require performance of any other such act which may be prescribed under the Act

**c) Removal of IC members:**

An IC member shall be removed/replaced in the event that the IC member:

- (i) breaches confidentiality
- (ii) has been convicted for an offence or an inquiry into an offence under any law for the time being in force is pending against them
- (iii) has been found guilty in any disciplinary proceedings or a disciplinary proceeding is pending against them
- (iv) has abused their position as to render their continuance in office prejudicial to the public interest

Any vacancy created in the IC due to cessation of employment, resignation, death, disability or removal, as applicable, shall be filled by a fresh nomination by Organization in accordance with its guidelines and in conjunction with provision of Law (where applicable).

*Details of IC are given in Annexure I.*

**6. Who can file a Complaint?**

Anyone, of any age or gender whether employed or not (“Aggrieved Person”), who alleges to have been subjected to any act of sexual harassment by the respondent and the term “Respondent” shall refer to the person against whom the complaint of sexual harassment has been filed.

### 7. What if aggrieved person is unable to make a complaint?

If the Aggrieved Person is unable to make a complaint on account of their physical incapacity, a complaint may be filed, with the written consent of the Aggrieved Person by:

- a) their relative or friend; or
- b) their co-worker; or
- c) an officer of the National Commission for Women or State Women's Commission; or
- d) any person who has knowledge of the incident

If the Aggrieved Person is unable to make a complaint on account of mental incapacity, a complaint may be filed by:

- a) their relative or friend; or
- b) a special educator; or
- c) a qualified psychiatrist or psychologist; or
- d) the guardian or authority under whose care they are receiving treatment or care; or
- e) any person who has knowledge of the incident jointly with the Aggrieved Person's relative or friend or a special educator or qualified psychiatrist or psychologist, or guardian or authority under whose care they are receiving treatment or care.

If the Aggrieved Person for any other reason is unable to make a complaint, a complaint may be filed by any person who has knowledge of the incident, with written consent of the Aggrieved Person. If the Aggrieved Person is deceased, a complaint may be filed by any person who has knowledge of the incident, with the written consent of their legal heir.

Any of the persons referred to above, who may file a complaint on behalf of the Aggrieved Person shall be referred to as the "**Complainant.**" Any reference to the term 'Complainant' throughout this Policy shall mean reference to 'Aggrieved Person' and/or the 'Complainant' as applicable.

## 8. How to file a complaint?

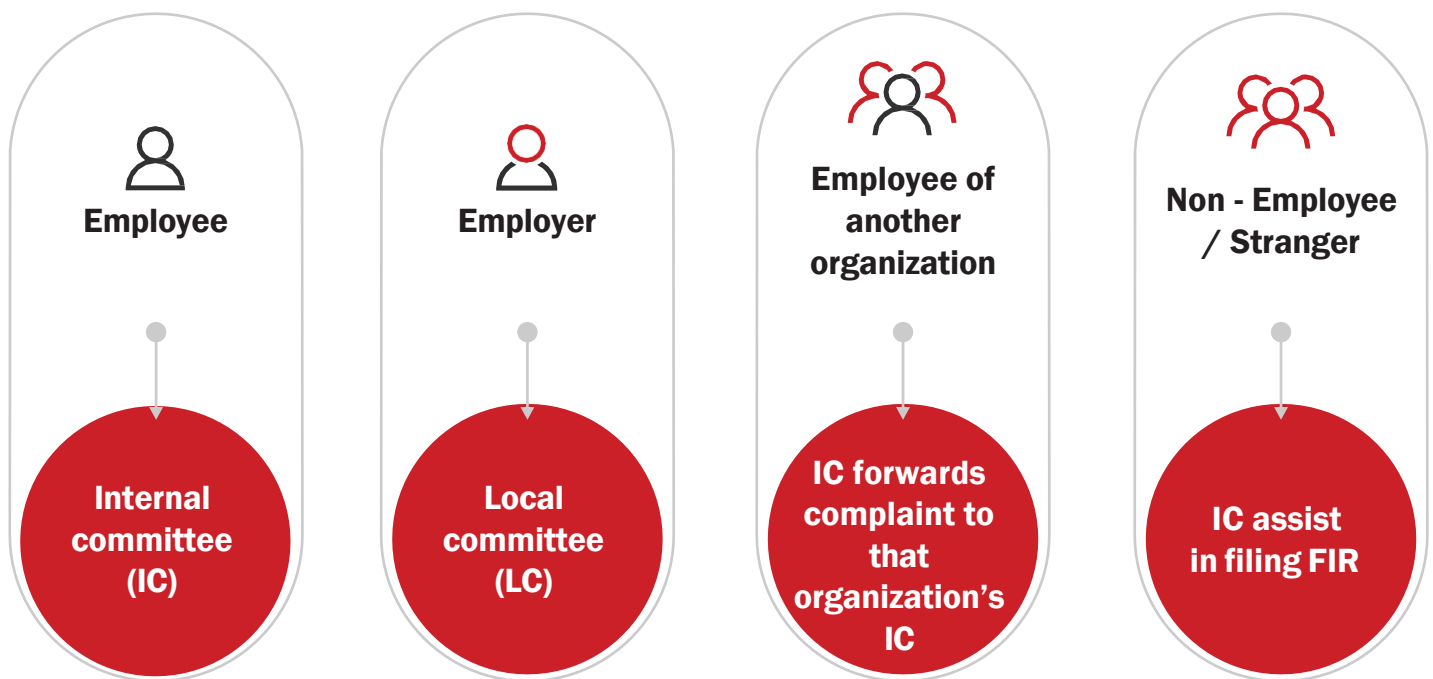
The Complainant can make a complaint of Sexual Harassment to the IC. The following needs to be kept in mind:

- a) The complaint has to be in writing.
- b) The Complainant should provide (if possible) as many specific details as possible including incidents, dates and people that are involved in their complaint. Details with respect to the following may be provided while filing a complaint:
  - (i) The alleged event, matter or issue that is subject to the complaint (time/date/place etc.)
  - (ii) The name and details of the Respondent against whom the complaint is being filed
  - (iii) Names and addresses of the witnesses (if any)
  - (iv) Details of documentary evidence (if any) such as WhatsApp chat records, SMS, E-mails, CCTV Footage, Audio/Video recording etc. and
  - (v) Any additional information, documentation or other evidence available to support the complaint (if any)
- c) Complaint must be made within a period of **3 (three) months** from the date of incident and in case of a series of incidents, within a period of **3 (three) months** from the date of last incident.
- d) The IC, at its discretion, can extend the time limit for receiving a complaint to another period of **3 (three) months** if it is satisfied that the circumstances were such which prevented the Complainant from filing a complaint within the **first 3 (three) months**.
- e) IC will record the reasons for such extension of **3 (three) months** in writing.
- f) If the Complainant needs assistance in writing the complaint, they can seek help from IC.
- g) The complaint can be submitted electronically at email ids of ICs for respective entities or to any of the IC members. Complaints can also be physically submitted to any of the IC members. The Details of ICs for respective entities and IC members have been provided in Annexure I.

### 9. What if complaint is against someone who is not an employee of the organization?

If any Employee/Third Party is sexually harassed by any external party who is not an Employee of the Organization, either in Organization premises or in that external party's premises, then IC shall contact either the internal committee of that external party and/or the Police (as the case may be), on the written complaint of such Employee/Third Party to the Organization's IC and on their request that such complaint be transferred to other IC and address the matter to satisfactory closure. Alternatively, Employee/Third Party may choose to reach out directly to IC of that external party and/or Police (as the case may be) and Organization will offer assistance on written request by Employee/Third Party.

### REPORTING



## 10. What is the process for handling complaints by IC?

### a) Process for Conciliation:

Prior to initiating an inquiry, the IC may, at the written request of the Complainant take steps to settle the matter between the Complainant and the Respondent through conciliation. The following need to be kept in mind with respect to conciliation:

- (i) It is not mandatory for the Complainant to request for conciliation.
- (ii) Conciliation cannot be done if inquiry has already started.
- (iii) In case a settlement has been arrived at, the IC shall record it and forward it to Organization to take action as specified in the recommendation of the IC.
- (iv) The IC will also provide copies of the settlement as recorded to the Complainant and the Respondent.
- (v) If conciliation has been reached, the IC will not be required to conduct any further inquiry.
- (vi) Monetary settlement cannot be made the basis of such conciliation.
- (vii) If Complainant feels that the terms of settlement are not being complied with by the Respondent or action has not been taken by Organization, Complainant can make a written complaint to the IC to conduct an inquiry into the complaint.

### b) Procedure for Inquiry:

If the Complainant does not wish to go for conciliation or if the conciliation reached between the parties is not complied with, the IC shall, upon a written request from the Complainant to do so, proceed to make inquiry into the complaint in the manner per the process prescribed under this Policy and the Law. The following needs to be kept in mind with respect to inquiry:

- (i) On receipt of the complaint, the IC shall send copy of the complaint received from the Complainant to the Respondent within a period of 7 (seven) working days. If the complaint has been received on email, the IC member shall forward the same to the Respondent, with clear instructions that the same is not to be shared with anyone and strict confidentiality has to be maintained.
- (ii) The Respondent shall file the reply to the complaint along with list of documents, and names and addresses of witnesses (if any), within a period of 10 (ten) working days from the date of receipt of copy of the complaint

- (iii) If the Complainant or the Respondent desires any witness/es to be called, they shall communicate in writing to IC the names of witness/es whom they propose to call.
- (iv) If the Complainant desires to tender any documents by way of evidence before IC, they shall supply copies of such documents. Similarly, if Respondent desires to tender any documents in evidence before IC they shall supply copies of such documents. Both shall affix their signature on the respective documents to certify these to be authentic documents.
- (v) The IC shall have the powers to summon and enforce the attendance of any person and conduct an examination, request the discovery and production of documents and / or any other matter which may be necessary for the inquiry process. Any refusal by any Employee of Organization to attend any hearing before the IC when summoned or to provide to the IC, any documents and/or information within their power or possession shall constitute as misconduct, rendering such Employee for adverse action by Organization.
- (vi) The IC shall have the right to terminate the inquiry proceedings or to give an ex-parte decision on the complaint, if the Complainant or Respondent fails, without sufficient cause, to present themselves, for 3 (three) consecutive hearings convened by the Presiding Officer. Such termination or ex-parte order may not be passed without giving a notice in writing, 15 (fifteen) days in advance, to the Complainant or Respondent as the case maybe.
- (vii) In conducting the inquiry, at any point of time, the Complaint shall be heard by a minimum of 3 (three) members including the Presiding Officer and the External Member and IC shall complete the inquiry within reasonable period but not beyond 90 (ninety) days.
- (viii) IC shall notify in writing, the time and dates of its meetings to the Complainant, the Respondent and witnesses.
- (ix) All inquiry proceedings will be documented in detail and treated as strictly confidential with restricted viewing only on need to know basis.
- (x) Inquiry proceedings shall be minuted / recorded in writing. They may be audio recorded as well (where possible). The minutes / transcribed record of the proceedings and the statement of witnesses shall be endorsed by the persons concerned and IC in token of authenticity thereof.
- (xi) All colleagues and witnesses who are part of the IC proceedings will need to sign a confidentiality declaration.
- (xii) The Complainant and Respondent shall not be allowed to bring in any legal practitioner to represent them in their case at any stage of the proceedings before the IC.

**c) The things IC shall keep in mind while inquiring into a complaint:**

- (i) The IC shall make an inquiry into the complaint in accordance with the principles of natural justice such that IC shall provide every reasonable and fair opportunity to the Complainant as well as to the Respondent, for putting forward and defending their respective side.
- (ii) The IC shall be sensitive to the often covert, private and insidious nature of sexual harassment and shall take into account that often the Complainant may not be able to submit or present direct or corroborative evidence.
- (iii) The IC shall take note of the respective socio-economic positions of the parties, their hierarchy in the Workplace, and other power differentials while giving recommendation.
- (iv) While inquiring into a complaint, IC shall take note that in cases of harassment via postings and messages through electronic and social media, the IC shall consider the public humiliation that this involves for the Complainant as well as the unwitting exposure of others who are using this media to circulate such messages and images.

**11. Can any action be taken during pendency of inquiry?**

During the pendency of an inquiry, on a written request made by the Complainant, the IC may recommend any of the following to Organization:

**a) In case Complainant and/or Respondent are Employees, any one or more of the following may be recommended:**

- (i) Grant leave to the Complainant up to a period of 3 (three) months (the leave granted shall be in addition to the leave the Complainant is otherwise entitled to)
- (ii) Transfer the Complainant or Respondent to any other workplace
- (iii) Restrain the Respondent from reporting on the work performance of the Complainant or writing their confidential report and assign the same to another Employee (if applicable)
- (iv) In case the complaint has been filed by an intern or an apprentice working under the Respondent, restrain the Respondent from supervising any official/academic activity of the Complainant and assign the same to another Employee.
- (v) Direct the Respondent to not communicate with the Complainant in any manner including any mode of electronic communication such as text messages, emails, video/audio calls, on any social media platform or via any other mode of electronic communication.

- (vi) In case complaint is filed by an individual on behalf of the aggrieved person (as mentioned in Clause 7 above), the same benefits as above would apply, depending on facts and circumstances.

The Organization reserves the right to require the Respondent to proceed on leave during pendency of inquiry any time after receipt of a complaint of sexual harassment until the IC has concluded its inquiry, if required, based on recommendation of IC. Any such decision will be communicated in writing to the Respondent by the Organization. This is to ensure that there is no retaliation by the Respondent against the Complainant / other employees and / or against the Respondent by other employees. The Organization reserves the right to require the Respondent to work from home or from an alternate Organization location during the inquiry.

**b) In case Respondent is a Visitor/Third Party, any one or more of the following may be recommended:**

If the Respondent is a Visitor / Third Party, adequate steps to ensure that they do not enter Organization premises or contact/threaten Complainant/Witnesses, shall be recommended to Organization by IC including reaching out to the Police if required with consent of Complainant.

**12. What is an inquiry report and what actions can be suggested under it?**

On completion of inquiry, the IC shall provide a written report of its findings and recommendations to Organization within 10 (ten) working days from date of completion of the inquiry. Such report shall also be made available to Complainant and Respondent. The inquiry report shall specify details of the allegations against the Respondent, the statements made and evidence presented by the Complainant, Respondent and / or witnesses, IC's findings along with a statement giving reasons for the findings arrived at by the IC and IC's recommendations. Organization shall act upon the recommendation given by IC within 60 (sixty) days of receipt of the recommendation.

**a) In case allegations against Respondent have not been proven:**

In the event that the IC arrives at the conclusion that the allegation against the Respondent has not been proved, it shall recommend to Organization that no action is required to be taken in the matter.

**b) In case allegations against Respondent have been proven:**

Where the IC determines that sexual harassment has taken place, to whatever extent, immediate corrective and preventive measures will be recommended. Severity of recommendation may be determined by certain factors such as the respondent being a first time or habitual offender/misunderstanding, etc.

**(i) Where Respondent is an Employee, IC may recommend any one or more of the following:**

Where the Committee arrives at the conclusion that the allegation against the Respondent has been proved, where Respondent is an Employee, it will recommend to the Avendus Group:

1. To take action for sexual harassment as a misconduct as per Organization Policy.
2. To take action as per the service rules applicable to the Respondent and where no service rules are applicable to take any action including:
  - A written apology from the Respondent
  - A letter of warning may be given to the Respondent that will be placed in the personnel file
  - Reprimand or censure the Respondent
  - Withholding the promotion or reduction in rank
  - Withholding of pay rise or increments
  - Immediate transfer or suspension without pay
  - Termination from service/dismissal from the services of Organization
  - Facilitating a counselling session
  - Respondent to carry out community service
  - deduction from salary or wages of the Respondent such sum as it may consider appropriate to be paid to the Complainant or to their legal heirs. In case, Organization is unable to make deductions from salary of the Respondent due to them being absent from duty or cessation of employment, it may direct the Respondent to pay such sum to the Complainant. In case the Respondent fails to pay the sum, the IC may forward the order for recovery of the sum as an arrear of land revenue to the concerned district officer.

IC may consider various factors as required under Law for the purpose of determining the sums to be paid to the Complainant and may take the following into consideration:

- the mental trauma, pain, suffering and emotional distress caused to the Complainant
- the loss in the career opportunity due to the incident of sexual harassment
- medical expenses incurred by the victim for physical or psychiatric treatment
- the income and financial status of the Respondent
- feasibility of such payment in lump sum or in instalments

(ii) **Where the Respondent is a Third Party, IC may recommend any one or more of the following:**

- Address a communication to employing Organization/association/firm (if any)
- Declaring the Workplace/Organization out of bounds to the Respondent
- Withdrawal of the right to provide services to Organization for a certain period (if applicable)
- Helping the Complainant in filing an FIR, should they desire
- Debarring/blacklisting such person from Organization
- Other similar or appropriate punishment

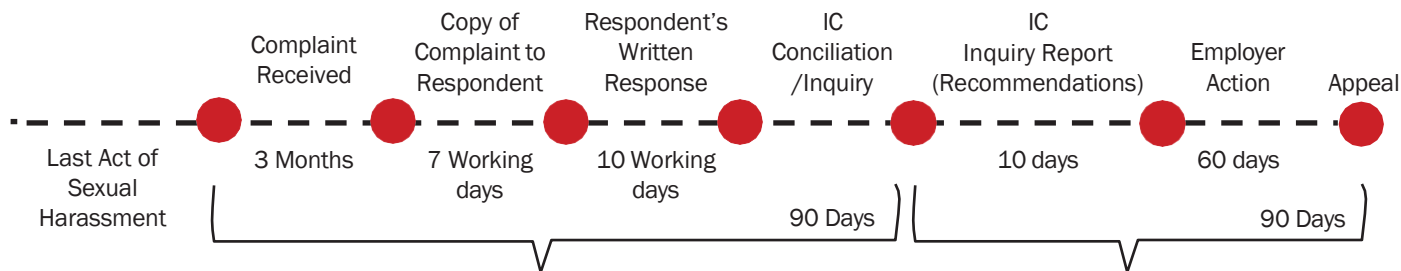
(c) **In case it is proven that the Complaint is malicious:**

- (i) If on inquiry, it is revealed that the complaint was made with a malicious intent and with the motive of maligning the Respondent/tarnishing their image in Organization or otherwise and/or to settle personal/professional scores, strict action will be recommended by IC against the Complainant. Hence, in case IC arrives at a conclusion that allegation against the Respondent is malicious or Complainant has made the complaint knowing it to be false or has produced a forged or misleading document, IC may recommend to Organization to take an action against the Complainant similar to action applicable to Respondent if the complaint was genuine. In this regard, IC may recommend any of the actions specified above (As applicable).
- (ii) A mere inability to substantiate a complaint or provide adequate proof need not attract action against the Complainant as the malicious intent on the part of the Complainant will have to be established through the inquiry process before an action against such Complainant is recommended.

### 13. Procedure for filing an appeal

In case the inquiry process is conducted by the IC and only if the Complainant is a woman, any party aggrieved (Complainant or Respondent) by the recommendations of the IC and/or non-implementation of recommendations may file an appeal to the Appellate Authority as per other provisions of Law within 90 (ninety) days of the recommendations.

In case the inquiry process is conducted by the IC and the Complainant is not a woman, any party aggrieved (Complainant or Respondent) by the recommendations of the IC and/or non-implementation of recommendations can get in touch with Head of HR , who will review the appeal.



### 14. Confidentiality

All discussions/decisions pertaining to an incident of sexual harassment must be kept confidential. Therefore, contents of the complaint made, the identity and addresses of the Complainant, Respondent and witnesses, any information relating to conciliation and inquiry proceedings, inquiry report including recommendations of the IC and action taken on the Respondent shall not be published, communicated or made known to the public, press and media in any manner. However, information may be disseminated regarding the justice secured to any victim without disclosing the name, address, identity or any other particulars calculated to lead to the identification of the Complainant and witnesses.

Appropriate information will be shared with Government authorities as per the Act. If any person breaches confidentiality, they shall be liable for penalty as per service rules and / or Law. Organization shall recover a sum of rupees five thousand (Rs. 5,000) as penalty from such person and may take any other action as it may deem fit.

### 15. Protection against retaliation

There will be no retaliation against anyone who, in good faith, files a complaint or participates in any way in the inquiry of a complaint. Organization will not allow retaliation against that person. Individuals engaging in retaliatory conduct will be subject to strict disciplinary action and necessary legal action and/or a police complaint. If you suspect that you or someone you know has been retaliated against for raising an issue, immediately contact the IC.

## 16. Filing of complaint with police

Nothing in these rules and procedures shall preclude anybody from simultaneously lodging a complaint with the police in respect of any act amounting to an offence under the law. Organization will provide assistance in this regard, if assistance is sought and this Policy is not intended to impair or limit the right of any Employee seeking a remedy available under any law. Proceedings under this Policy shall continue notwithstanding any proceedings initiated by a Complainant (as defined hereinafter) against Respondent under any law in force.

In case of a complaint of sexual harassment or any other offense against a child, as per the Protection of Children from Sexual Offences Act, 2012 (“**POCSO**”), or in case of offense by a child, the provisions under POCSO and Juvenile Justice (Care and Protection of Children) Act, 2015 may become applicable and would have to be dealt with in accordance with these laws. A child is any person below the age of eighteen years.

## 17. Availability of mental health professionals

The Organization shall provide assistance, such as availing services of a mental health professional, to any of the concerned parties on request as may be required from time to time.

## 18. Responsibilities of employees

Everyone has a personal responsibility to ensure that their behaviour is not contrary to this Policy. Every employee is expected to:

- a) Set an example of dignified workplace behavior and ethical standards in line with Organization’s values and code of conduct.
- b) Create and sustain a healthy work environment.
- c) Not ignore or allow an inappropriate behavior to continue regardless of who is creating that situation.
- d) Support and co-operate during any inquiry of a complaint, including testifying as witness and giving full and truthful disclosure of all factual information when asked by the IC, while ensuring that complete confidentiality is maintained throughout, about any complaint of sexual harassment within Organization.
- e) Be aware that Organization will take allegations seriously and will ask their cooperation in an inquiry if they bring a complaint forward.

- f) Handle information related to known or suspected violations of this Policy in a discreet and confidential manner and not attempt to investigate/inquire into the information or suspected violations of this Policy on your own i.e. without involving the IC.
- g) Report any inappropriate behavior to IC immediately.
- h) Not misuse the policy or the law by filing malicious complaints for settling personal scores, seeking revenge or for personal gains and benefits etc.
- i) Remember that on social media, the employees represent the Organization and therefore to ensure that they post information/comment/opinion that is responsible, professional and protect the interests of the Organization.
- j) With respect to virtual working:
  - (i) Ensure that video/audio calls are scheduled during working hours as much as possible
  - (ii) State the preferred modality (video or audio) while scheduling the meeting/ blocking other person's calendar & allow for flexibility for the individual to confirm
  - (iii) Seek consent before requesting for a video call for a one on one conversation
  - (iv) Not insist on video calls where not necessary, and/or if your colleague/s expresses difficulty in joining via video call
  - (v) While on video/audio calls, be mindful of the professional boundaries, not initiate conversations/jokes that could make others uncomfortable
  - (vi) While on video calls, ensure that a professional dress code is followed, and the background does not have anything inappropriate
  - (vii) Not share/forward inappropriate or offensive posts or images on team chat or social media, etc
  - (viii) Not forward any personal message, image, or video sent to you without sender's consent
  - (ix) Not repeatedly send messages to engage in personal discussions, comment, like on posts, pictures etc. in absence of any positive, enthusiastic response
  - (x) Not repetitively ask any employee to accept your friend/follow request on any social media platform
  - (xi) Not engage in online bullying, stalking or harassment

**19. Responsibilities of the IC**

- a) Receive and address complaints of sexual harassment and inquire into complaints in detail
- b) Assist Complainant in filing the complaint, in case the Complainant is unable to do so.
- c) Inquiry shall be a priority for an IC member.
- d) Ensure quorum of minimum three (3) members is met during all Inquiry meetings, with mandatory presence of the Presiding officer at all inquiry meetings.
- e) Follow the principles of natural justice and treat the Complainant, Respondent, witnesses and related persons to the inquiry with dignity and respect and give both the Complainant and the Respondent a fair opportunity to make their submissions. All members of the IC shall be acting without any prejudice or bias while conducting inquiries or dealing with complaints of sexual harassment in any other manner.
- f) Make efforts to ensure that the Complainants and the witnesses are not further victimized or discriminated against while the complaint is pending.
- g) Recuse themselves from their assigned job for the purpose of conducting an Inquiry if there is conflict of interest or a bias coming in the way of conducting a fair Inquiry.
- h) Document in detail all the inquiry proceedings and the inquiry report.
- i) Refrain from talking about a potential, pending or completed case of sexual harassment to any member directly or indirectly connected to any form of media, including print, Television, online media etc.
- j) Review the status of all complaints received.
- k) Recommend action against anyone who threatens or intimidates the Complainant or members of the IC.
- l) Read and acquaint themselves with the Policy and attend trainings on this subject matter.
- m) Compile annual reports and submit to the concerned authorities.
- n) In the event, the complaint does not fall under the purview of sexual harassment or the complaint does not mean an offence of sexual harassment, forward the same to the concerned person/committee.

## 20. Organization's responsibilities

- a) Organization will not tolerate any act of sexual harassment. It shall treat sexual harassment as 'Misconduct' and take prompt, appropriate action for the same.
- b) Organize gender-sensitization workshops and awareness programs at regular intervals covering all locations.
- c) Raise awareness about the prevention of sexual harassment through posters, calendars, mugs and other mediums
- d) Ensure that necessary facilities and information are provided to the IC for dealing with the complaint and conducting an inquiry.
- e) Assist in securing the attendance of Respondent and witnesses before the IC and make available such information to the IC as it may require with regards to the complaint.
- f) Provide assistance to the IC in any manner feasible to conduct a fair and expeditious inquiry and implement recommendations made by IC.
- g) Provide assistance to the Complainant if the Complainant chooses to file a complaint in relation to the offence under the Indian Penal Code.
- h) Cause to initiate action, under the Indian Penal Code, against the Respondent, or if the Complainant so desires, where the Respondent is not an employee, in the workplace at which the incident of sexual harassment took place.
- i) Offer counselling sessions to anyone impacted by incident of sexual harassment.
- j) Do all other things it may deem fit for successful implementation of this Policy.

## 21. Amendments

Organization reserves the right to amend the Policy from time to time in order to comply with any laws/rules/regulations that come into effect from time to time, related to sexual harassment at workplace. This Policy may be reviewed bi-annually or as and when key issues get raised to incorporate amendments.

This Policy does not intend to create any contractual obligation for or with Organization, and in case of dispute with the Law and the Policy, the Law shall prevail.

If you are unable to make a complaint in writing for any reason, you may contact any of the members of the IC (details of whom are provided above) and they shall render assistance to you for making the complaint in writing.

You may file a written complaint with any IC member or submit the same to IC electronically at the corresponding email ids of respective entities as mentioned in Annexure -1

### Members of the Internal Committee

- Avendus Capital Private Limited, Mumbai & Bangalore Office  
(icc.acpl.mum@avendus.com)

Name	Role	Contact
Ms. Sapna Prabhakaran	Presiding Officer	sapna.prabhakaran@avendus.com
Mr. Anirban Banerjee	Member	anirban.banerjee@avendus.com
Ms. Abha Agarwal	Member	abha.agarwal@avendus.com
Mr. Archibold Serrao	Member	archibold.serrao@avendus.com
Ms. Divya Agarwal	Member	divya.agarwal@avendus.com
Ms. Pallavi Poswal	External Member	pallavi@thelegalswan.com

- Avendus Capital Private Limited, Bangalore Office  
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Mr. Archibold Serrao	Member	archibold.serrao@avendus.com
Ms. Divya Agarwal	Member	divya.agarwal@avendus.com
Ms. Pallavi Poswal	External Member	pallavi@thelegalswan.com

- Avendus Wealth Management Private Limited, All locations apart from Delhi & Hyderabad  
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Ms. Sanjana Reddy	Member	sanjana.reddy@avendus.com
Mr. Anubhaw Chandak	Member	<a href="mailto:anubhaw.chandak@avendus.com">anubhaw.chandak@avendus.com</a>
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Mr. Troy Menezes	Member	troy.menezes@avendus.com
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- Avendus PE Investment Advisors Private Limited, Mumbai & Delhi Office  
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