

G U FINANCIAL SERVICES (P) LIMITED
POLICY ON PREVENTION OF SEXUAL HARASSMENT (POSH) OF WOMEN
AT WORKPLACE

1. Commitment:-

This policy has been framed in accordance with the provisions of "The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013" and rules framed thereunder (hereinafter "the Act"). Accordingly, while the policy covers all the key aspects of the Act, for any further clarification reference shall always be made to the Act and the provisions of the Act shall prevail.

The Company treats the employee with respect and dignity and expect everyone to promote a sense of personal responsibility. The Company recruits 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.**

The 'Policy on Prevention of Sexual Harassment of women at workplace: Guidelines for G U Financial Services (P) Limited' intends to provide protection against sexual harassment of women at workplace and the prevention and redressal of complaints of sexual harassment and matters related to it.

The Company will ensure the implementation of the policy in letter and spirit.

2. Scope:-

The policy applies to all categories of employees of the Company, including permanent management and workmen, temporaries, trainees and associates on contract at its workplace or at client sites. The Company will not tolerate sexual harassment, if engaged in by clients or by any other business associate.

The workplace includes:-

- a. All offices or other premises where the Company's business is conducted.
- b. All company related activities performed at any other site away from the Company'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.

3. Definition:-

a) "Aggrieved Person" means a person in relation to work place whether employed or not, who alleges to have been subject to any act of sexual harassment by the Respondent.

b) "employee" means a person employed at a workplace for any work on regular, temporary, ad hoc or daily wages 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.

c) **"Complaints Committee"** means a committee constituted by Company as per this Policy.

d) **"Respondent"** means a person against whom the aggrieved person has made a complaint.

e) **"Sexual Harassment"** includes any one or more of the following unwelcome acts or behaviour (whether directly or by implication) such as:

- ❖ Unwelcomed physical and advances;
- ❖ A demand or request for sexual favours;
- ❖ Making Sexually coloured remarks;
- ❖ Showing pornography or other offensive or derogatory pictures, cartoons, representations, graphics, pamphlets or sayings;
- ❖ Any other unwelcome physical, verbal or non – verbal conduct of sexual nature; Following circumstances amongst other circumstances mentioned above may constitute sexual harassment if it occurs or is present in relation or connected with any act or behaviour of sexual harassment:
 - implied or explicit promise of preferential treatment in their employment;
 - implied or explicit threat of detrimental treatment in their employment;
 - implied or explicit threat about their present or future employment status;
 - interfering with their work or creating an intimidating or offensive or hostile work;
 - environment; humiliation treatment likely to affect their health or safety;
 - humiliating treatment likely to affect the health and safety of the aggrieved person.

In addition to the instances mentioned hereinabove, any other acts or behaviour, which outrages the modesty of a female employee, will be considered as sexual harassment.

If you are being harassed: -

- a) Tell the accused that his/her behaviour is unwelcome and ask him/her to stop.
- b) Keep a record of incidents (dates, times, locations, possible witness, what happened, your response). It is not mandatory to have a record of events to file a complaint, but a record can strengthen your case and help you remember the details over time, in case the complaint is not filed immediately.
- c) File a complaint as soon as possible. If, after asking the accused to stop his/her behaviour, the harassment continues, report the abuse to the Complaints Committee ('CC') formed for this purpose.

4. Responsibilities regarding Sexual Harassment:-

It is the responsibility of all to respect the rights of others and to never encourage harassment. It can be done by:

- a. Refusing to participate in any activity which constitutes harassment;
- b. Supporting the person to reject unwelcome behaviour;
- c. Acting as a witness if the person being harassed desires to file a complaint;

All are encouraged to advise others of behaviour that is unwelcome. Often, some behaviours are not intentional. While this does not make it acceptable, it does give the person behaving inappropriately, the opportunity to modify or stop their offensive behaviour.

They must also ensure that all employees understand that harassment will not be tolerated; that complaints will be taken seriously; and that the complainant, respondent/s, or witnesses are not victimized in any way. All associates are encouraged to reinforce the maintenance of a work environment free from sexual harassment.

5. Redressal Mechanism – Formal Intervention:-

In compliance with the Act, if the complaint warrants formal intervention, the complainant needs to lodge a written complaint, which shall be followed by a formal redressal mechanism as described in this Policy. In case of a verbal complaint, the complaint will be recorded in writing by the receiver of the complaint and signatures of the complainant will be obtained.

6. Internal Complaints Committee (ICC):-

To prevent instances of sexual harassment and to receive and effectively deal with complaints pertaining to the same, an "Internal Complaints Committee" is constituted under Section 4 of the Sexual Harassment of women at Workplace (Prevention, Prohibition, and Redressal) Act, 2013.

Every complaint received shall be forwarded to internal complaint committee formed under the policy for redressal. The investigation shall be carried out by Internal Complaints Committee constituted for this purpose.

Initially, and till further notice, Committee shall consist of the following members as nominated by the company with the approval of Board:

The committee comprises of:

- a. Presiding Officer: A woman employed at a senior level in the organization or workplace.
- b. At least 2 members from amongst employees, committed to the cause of women and or having legal knowledge
- c. One external member, familiar with the issues relating to sexual harassment
- d. At least one half of the total members is women

The committee is responsible for:

- a. Receiving complaints of sexual harassment at the workplace;
- b. Initiating and conducting inquiry as per the established procedure;
- c. Submitting findings and recommendations of inquiries;
- d. Coordinating with the employer in implementing appropriate action
- e. Maintaining strict confidentiality throughout the process as per established guidelines;
- f. Submitting annual reports in the prescribed format.

There is no abuse of power and that the women can come up front with their complaints. Current nominated members of the committees are given in **Annexure A**.

7. Lodging a Complaint:-

Any Aggrieved Person who believes she has experienced Sexual Harassment may file a complaint with the ICC in the manner set out below within **three (3) months** of the alleged incident, and in case of a series of incidents, within a period of three months from the date of the last incident.

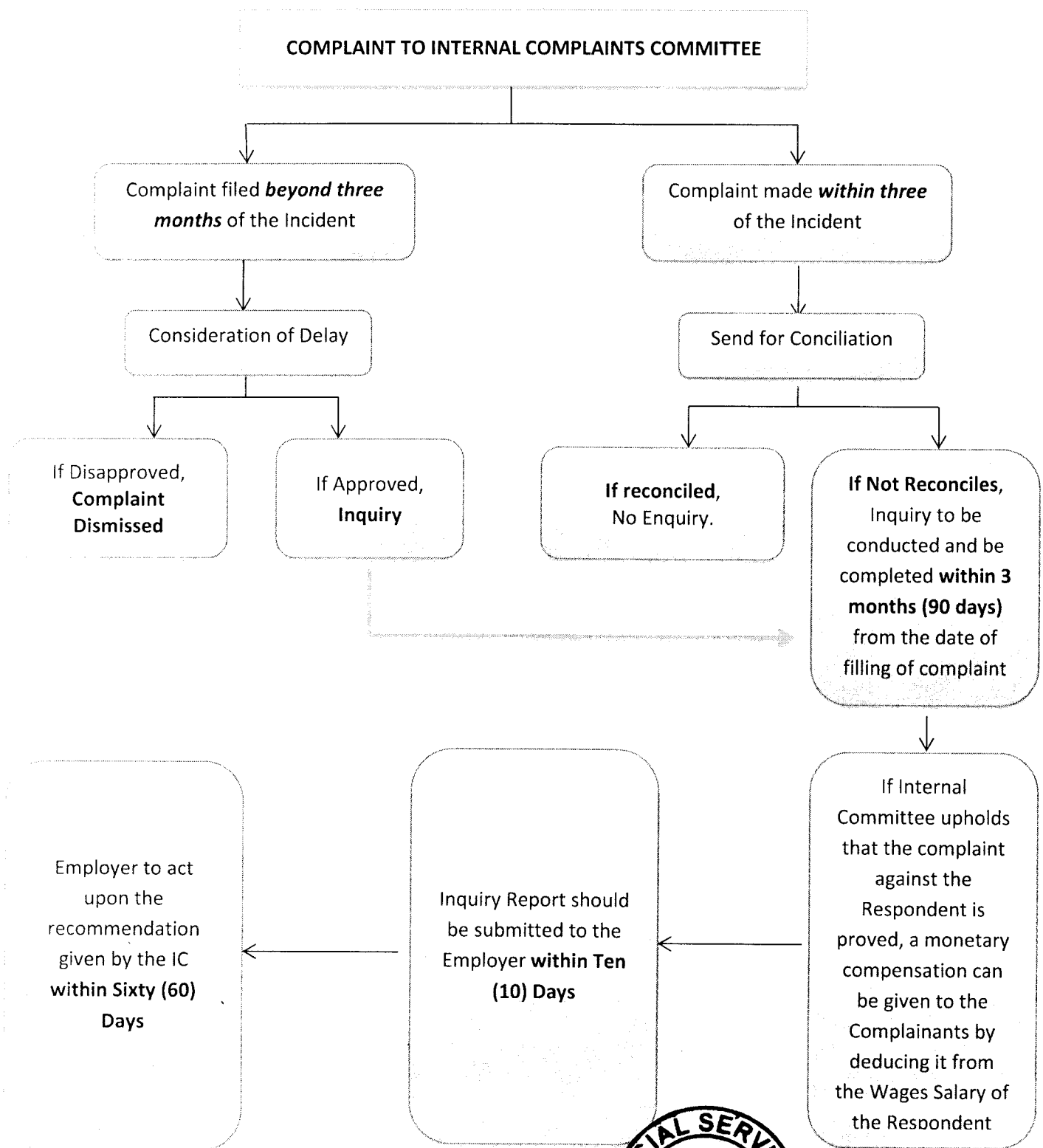
- a) A written complaint along with supporting documents should be submitted to the ICC. Provided that where such a complaint cannot be made in writing, the Presiding Officer or any Member of the Internal Complaint Committee shall render all reasonable assistance to the women for making the complaint in writing.
- b) To the extent possible, the complaint should include the following:
 - i. The Employee/s, and/or outside party or parties involved;
 - ii. The place/s where it happened (division, office);
 - iii. When did it happen: the date/s or a period of time;
 - iv. Type of concern or description (what happened);
 - v. Who to contact for more information, if necessary; and/or
 - vi. Names and addresses of any witnesses of the alleged Sexual Harassment
- c) If the aggrieved woman is unable to lodge the complaint on account of her incapacity, the following may do so on her behalf, with her written consent.
 - Legal heir, relative or friend
 - Co-worker
 - Any person having the knowledge of the incident
- d) The ICC may, for reasons to be recorded in writing, extend the time limit for filing a complaint if it is satisfied that the circumstances were such which prevented such Aggrieved Person from filing a complaint within three months.
- e) If an Aggrieved Person is unsure how to file a complaint of Sexual Harassment, she should immediately contact the Company's HR department.

8. Protection to the complainant/ Victim:-

The Company will ensure that no employee who lodges a complaint for harassment is subject to any form of reprisal. Any reprisal will be cause of disciplinary action. Company will ensure that the complainant and the witnesses are not victimised or discriminated against.

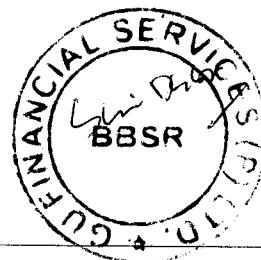
However anyone who abuses the policy on false grounds will be subject to disciplinary action.

Sum up the timelines and procedure of action of the whole enquiry proceedings process in the below diagram in order to give a better clarity.



9. ICC Procedures For Addressing A Complaint:-

- a) The ICC shall meet within five (5) business days of receiving a complaint to determine how to undertake the investigation of the complaint.
- b) Within seven (7) business days of receiving a written complaint, the ICC will provide a copy of the complaint along with supporting documents & information provided with such complaint to the alleged harasser and require that such person shall file his/her response to the ICC within ten (10) business days along with the list of documents, and names and addresses of witnesses (if any).
- c) If requested by the Aggrieved Person, the ICC may take steps to resolve the matter between the parties through conciliation. Where any resolution is arrived at as the result of such conciliation, the ICC will record the resolution and forward it to the Company's Human Resources to take action as recommended and also provide copies to the respective parties. For the avoidance of doubt, the ICC does not have any authority to record or demand any monetary relief from the alleged harasser or the employer as basis of such conciliation.
- d) The ICC in its discretion may provide immediate corrective relief by doing whatever it deems necessary to prevent any further harassment of the Aggrieved Person during the pendency of its investigation (e.g., **counselling; support services; restoring lost employment benefits; transferring the victim or other Employees to alternative Workplaces; granting the alleged victim up to three (3) months of leave; or any other relief the ICC believes is necessary given the circumstances**).
- e) The ICC shall give all interested parties, including the complainant, the alleged victim, and the alleged harasser the right to be heard. The alleged harasser may, if he/she desires, represent or plead through a representative, however, such representative must be an Employee of the Company. However, the parties shall not be permitted to bring in any legal practitioner to represent them in their case at any stage of the proceedings before the ICC.
- f) The ICC will have the right to terminate the investigation as to give an ex-parte decision on the complaint if the complainant or respondent/alleged harasser fails, without sufficient cause, to present himself/herself for three consecutive hearings convened by the chairperson, provided that such termination or ex-parte order will not be passed without giving fifteen (15) days prior written notice to the party concerned.
- g) The ICC shall complete its investigation within ninety (90) days of receiving a complaint.
- h) The ICC will document the findings of the investigation along with its recommendations, if any, in the form of a written report within ten (10) days from the date of completion of the investigation.



- i) If the ICC determines that the Aggrieved Person has in fact suffered Sexual Harassment, it will recommend appropriate disciplinary action against the Employee(s) engaging in the misconduct, including requiring a written apology, warning, reprimand or censure, withholding of promotion, pay rise or increment, or termination of service, and or recommend or take such other actions as may be permissible under any applicable laws including, but not limited to, the Sexual Harassment Act, such as : Recommend to the Company's Human Resources to deduct from the compensation, salary, or wages of the Employee who has engaged in misconduct an appropriate amount to be paid to the Aggrieved Person or to the Aggrieved Person's legal heirs, in accordance with provisions of the Sexual Harassment Act.
- j) A copy of the report shall be made available to both the complainant and the respondent. The recommendations of the ICC, including any corrective preventive measures, shall be implemented by the Company's Human Resources or the Company's designated disciplinary authority within a period of sixty (60) days of receipt of such recommendation.
- k) Any person aggrieved by any recommendations of the ICC may prefer an appeal within ninety (90) days of any such recommendations, in accordance with the Sexual Harassment Act.
- l) Without limiting the generality of the foregoing, the ICC shall ensure confidentiality of the process and only involve those with a need to know or relevant to undertake the investigation. Any violation of the confidentiality obligations can result in disciplinary action against the concerned ICC member.
- m) Notwithstanding the foregoing, the ICC shall submit its reports to the Company and to all relevant governmental authorities, if required by law. The act of submitting statutorily required reports to the Company or to relevant governmental authorities will not be considered a breach of the ICC's confidentiality obligations.
- n) The failure or refusal of any person to cooperate with or to interfere or misguide the ICC during its investigation may result in disciplinary action against that person as deemed appropriate.
- o) In the case of complaints which the ICC deems as outside its jurisdiction, like offences of a criminal nature under the Indian Penal Code, the ICC will provide all necessary assistance to the Aggrieved Person in filing such complaint with the appropriate legal authorities in accordance with the applicable laws.
- p) If an Aggrieved Person chooses to initiate proceedings in a court or tribunal, the Company shall take steps to support such person in the proceedings, including by providing Company data and Employee records.

10. Miscellaneous:-

- a) Company may make any alteration or amendment or rescind any of the clauses of this Policy as and when it finds it necessary to do so as long as it conforms with the Act. Any such alterations or amendment or rescinding will be intimated to the employee.

- b) Nothing contained in these rules shall operate in derogation of any law for the time being in force or to the prejudice of any right of any employee under any other Rules or Law.
- c) The Internal Complaint Committee shall prepare an annual report with the following details and shall submit the same to the Company to include in its Annual report:
- Number of complaints of sexual harassment received during the year
 - Number of complaints disposed off during the year
 - Number of cases pending for more than 90 days
 - Number of workshops or awareness program against sexual
 - Nature of action taken by the employer

11. Conclusion:-

Complaints relating to Sexual Harassment shall be handled and investigations will be conducted under the principles of natural justice and on the basis of fundamental fairness, in an impartial and confidential manner so as to protect the identity of all viz., the person bringing the charge, potential witnesses, and the person accused of improper behaviour. Also, all efforts shall be taken to ensure objectivity and thoroughness throughout the process of investigation. The identity and address of the aggrieved person, respondent and witnesses must not be published or disclosed to the public or media. The decision of Company shall be final and binding on all. However, the same is without prejudice to any recourse that Company or the individual concerned may have against the respondent and it shall not limit or restrict the rights of the Complainant and/or Company to pursue, nor shall they be precluded from pursuing, such further and other legal actions as may be available.