

MANKIND PHARMA LIMITED

(CORPORATE OFFICE, DELHI)

POLICY ON PROFESSIONAL ETIQUETTES AT WORKPLACE

INDEX

1. OBJECTIVE.....	2
2. POLICY STATEMENT	2
3. APPLICABILITY	2
4. DEFINITIONS.....	2
5. CONSTITUTION OF THE COMMITTEE.....	3
6. ROLE OF THE COMMITTEE	3
7. REDRESSAL MECHANISM.....	4
8. MISCELLANEOUS	8

1. OBJECTIVE

- 1.1 This Policy has been drafted to further the commitment of the Company to the highest possible standards of ethical, moral and legal business conduct.
- 1.2 The main objective of this Policy is to provide to all the Stakeholders of the Company a safe working environment and ensure that they are treated with dignity and respect. The Policy also endeavours to set expectations regarding moral and ethical workplace behaviour and provide all the Complainant a framework for reporting concerns.

2. POLICY STATEMENT

- 2.1 The Company is committed to the highest possible standards of ethical, moral and legal business conduct.
- 2.2 The Company believes in the culture wherein there is maximum participation of women based on equity and justice and reaffirms the principles of the inadmissibility of discrimination.

3. APPLICABILITY

- 3.1 This Policy applies to all the Stakeholders of the Company.

4. DEFINITIONS

- 4.1 In this Policy the following terms and phrases shall have the following meanings:
 - 4.1.1 **“Complainant”** means a female Stakeholder who has experienced or has been subjected to any Misconduct by another Stakeholder or a third party and who lodges the complaint with the Committee.
 - 4.1.2 **“Company”** means Mankind Pharma Limited and all its subsidiaries.
 - 4.1.3 **“Committee”** means the internal complaints committee constituted by the Company in accordance with the provisions of Section 4 of the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013 for the purpose of redressal of the complaint (“POSH”).
 - 4.1.4 **“Employee(s)”** means a person employed at 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.
 - 4.1.5 **“Policy”** means this Policy on Professional Etiquettes at Workplace, as may be updated and amended from time to time.

- 4.1.6 “**Respondent**” means a person against whom the complaint is made by the Complainant.
- 4.1.7 “**Misconduct**” means sexual harassment which consists of any physical or verbal behaviour and any form of communication that has unnecessary improper or unwelcome sexual connotations. The sexual harassment may vary in form depending on circumstances. It may consist of but not be limited to any of the following:
- (i) Physical contact and advances;
 - (ii) A demand or request of sexual favors;
 - (iii) Making sexually coloured remarks;
 - (iv) Showing pornography;
 - (v) any other unwelcome physical, verbal or non-verbal conduct of sexual nature;
 - (vi) Any threat relating to loss of job or promotion etc. in the event of denying any sexual favors.

As mentioned above, this is an indicative but not an exhaustive list of possible forms of the Misconduct.

- 4.1.8 “**Stakeholder/s**” individually and collectively means:
- (i) All the Employees;
 - (ii) All the directors on the Board of Directors of the Company; and
 - (iii) All, contractors, vendors and customers of the Company (as and when applicable).
- 4.1.9 “**Workplace**” includes:
- (i) the Company’s establishment, office, branch or unit; and
 - (ii) any place visited by the Employee arising out of or during the course of employment in the Company.

5. CONSTITUTION OF THE COMMITTEE

- 5.1 The Committee shall be constituted/ reconstituted, in terms of the Code of Conduct read with applicable statutory provisions.
- 5.2 The member appointed shall be paid such fee or allowances for holding the proceedings of the Committee, as may be prescribed by the Company.
- 5.3 The members of the Committee including the presiding officer shall hold office for not more than three (3) years, after which a new person shall be nominated.
- 5.4 Any updates in the constitution of the Committee would be appropriately circulated and made known to all the Stakeholders, from time to time.

6. ROLE OF THE COMMITTEE

- 6.1 The Committee shall:
- 6.1.1 look into the truth of the allegations contained in the complaint;

- 6.1.2 look into the truth of any allegation of retaliation against/ victimization of the Complainant or any other person assisting the Complainant as a result of such complaint having been made or such assistance having been offered;
- 6.1.3 recommend the actions/ drop the proceedings to the Company, as the case may be; and
- 6.1.4 Report on annual basis to the Company and the authorities.

7. REDRESSAL MECHANISM

7.1 *COMPLAINT OF THE MISCONDUCT:*

- 7.1.1 The Complainant may make in writing, the complaint of the Misconduct to the Committee, within a period of three (3) months from the date of the incident and in case of series of incident, within a period of three (3) months from the date of last incident.
- 7.1.2 Where the Committee is satisfied that the circumstances were such which prevented the Complainant from filing the complaint within the said period of three (3) months, the Committee may extend the time limit beyond three (3) months, by recording the reasons in writing.
- 7.1.3 Where the Complainant is unable to make the complaint on account of physical incapacity, the complaint may be filed by:
 - (i) Relative or friend; or
 - (ii) Co-worker; or
 - (iii) An officer of the National/ State Commission for Women; or
 - (iv) Any person who has knowledge of the incident, with the written consent of the Complainant.
- 7.1.4 Where the Complainant is unable to make the complaint on account of mental incapacity, the complaint may be filed by -
 - (i) Relative or friend; or
 - (ii) A special educator; or
 - (iii) A qualified psychiatrist or psychologist; or
 - (iv) The guardian or authority under whose care treatment or care is being done; or
 - (v) Any person who has knowledge jointly with the relative or friend or a special educator or qualified psychiatrist or psychologist, or guardian or authority under whose care the Complainant is receiving treatment or care.
- 7.1.5 Where the Complainant for any other reason is unable to make the complaint, the complaint may be filed by a person who has knowledge of the incident, with written consent of the Complainant.
- 7.1.6 Where the Complainant is dead, the complaint may be filed by any person who has knowledge of the incident, with the written consent of the Complainant's legal heir(s).

7.1.7 The complaint may also be made orally. If the complaint is oral, member of the Committee to whom the complaint is made shall record the same in writing, in detail, and have the contents confirmed by the Complainant.

7.2 *PROCEDURE FOR RESOLUTION, SETTLEMENT OR PROSECUTION*

7.2.1 Conciliation

The Committee may, before initiating an inquiry and on the request of the Complainant take steps to settle the matter between the Complainant and the Respondent. The conciliation shall not be on monetary settlement basis. The settlement terms shall be recorded in writing and forwarded to the Company. The copies of the same shall be provided to the Complainant and the Respondent. Where a settlement has been arrived at, no further inquiry shall be conducted by the Committee.

OR

7.2.2 If the above is not possible, the Committee shall proceed to make inquiry into the complaint in such manner as prescribed hereunder:

- (i) The Complainant or the person lodging the complaint on behalf of the Complainant shall file, with the Committee, six (6) written copies of the complaint along with the supporting documents and names and addresses of witnesses.
- (ii) On receipt of complaint the Committee shall within a period of seven (7) days send one of the copies of the complaint to the Respondent.
- (iii) The Respondent shall, within a period of ten (10) days from the date of receipt of complaint from the Committee, file his reply to the complaint along with his list of documents, names and addresses of witnesses.
- (iv) The Committee shall make inquiry into the complaint in accordance with the principles of natural justice.
- (v) The Committee 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 three (3) consecutive hearings convened. Provided that such termination or ex-parte order may not be passed without giving a notice in writing, fifteen (15) days in advance, to the party concerned.
- (vi) The Complainant or 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 Committee.
- (vii) In conducting the inquiry, a minimum of three (3) members of the Committee including the presiding officer shall be present.

- (viii) All Complainant shall extend their fullest co-operation to the Committee and any failure to co-operate, or the giving of wrong or misleading information, or withholding information shall be a violation of this Policy and shall be dealt with appropriately by the Company. Such failure to co-operate or willful or deliberate giving of wrong or misleading information or withholding of information may also constitute misconduct under applicable policies/code of conduct of the Company.
- (ix) The Company shall provide necessary facilities to the Committee for dealing with the complaint and conducting the inquiry. It shall assist in securing the attendance of the Respondent and witnesses before the Committee and shall make available such information to the Committee as it may require having regard to the complaint.

7.2.3 Upon completion of the hearing, the Committee shall prepare its written report which shall include a summary of the proceedings, the evidence adduced by the parties and the witnesses, and shall submit the same to the Company. The said report shall further set out the Committee's conclusions on whether the Misconduct, has been committed or occurred, or whether the complaint made by the Complainant is false or unproven, as also the reasons/rationale for the Committee's arriving at such conclusion. The said report shall further set out the Committee's recommendations on the disciplinary action(s) to be taken against the Respondent or Complainant, as the case may be. All members of the Committee shall sign the said report.

7.2.4 During the pendency of the inquiry, on a written request made by Complainant, the Committee may recommend the Company to:

- (i) transfer the Complainant or the Respondent to any other workplace; or
- (ii) grant leave to the Complainant up to a period of three (3) months; or
- (iii) restrain the Respondent from reporting on the work performance of the Complainant or writing any confidential report to the Complainant, and assign the same to another officer.

7.2.5 Where the Committee arrives at a conclusion that the allegations against the Respondent have been proved, it shall recommend the following to the Company:

- (i) to take action for the Misconduct in accordance with the rules/regulations of the Company, as applicable to the Respondent; and/or
- (ii) to deduct such amounts from the salary or wages of the Respondent as may be considered appropriate to be paid to the Complainant as per this Policy.

In addition to the above, the recommendations to the Company may also include one or more the following:

- (i) Written apology;
- (ii) Warning;
- (iii) Reprimand or Censure;
- (iv) Withholding of promotion;
- (v) Withholding of pay rise or increments;
- (vi) Termination of service of the Respondent.

7.2.6 If the Company is unable to deduct salary or wage of the Respondent for reasons such as his absence from duty or cessation of employment, they may direct the Respondent to pay the said amount of money to the Complainant directly. If the Respondent fails to pay the amount referred to above, the Committee may forward the order for recovery of the said amount as an arrear of land revenue to the district officer.

7.2.7 The Committee shall keep in mind the following while deciding the amount to be paid to the Complainant:

- (i) The mental trauma, pain, suffering and emotional distress caused to the Complainant;
- (ii) The loss in the Complainant's career opportunity due to the incident of the Misconduct;
- (iii) Medical expenses incurred by the Complainant;
- (iv) The income and financial status of the Respondent; and
- (v) Feasibility of such payments in lump sum or instalments.

7.3 **CONFIDENTIALITY**

All parties involved in any Misconduct must keep all aspects of the matter confidential. For some offences if the Complainant desires, the Committee may report matters to the police/or file FIR.

7.4 **TIME PERIOD**

The Committee shall complete the inquiry within a period of ninety (90) days from the date on which the complaint is lodged.

7.5 **APPEAL**

It is important to understand that the Misconduct may also be a criminal offence. Any person aggrieved from the recommendations made by the committee or non-implementation of such recommendations may prefer an appeal to the appellate authority as per the provisions of POSH.

7.6 **RECORDS**

A copy of the final report, notes of meetings and interviews, evidence and documentation relating to any action taken as a result of an investigation will be retained by the Committee.

7.7 **MALICIOUS OR FALSE COMPLAINT**

If the Complainant is found to have raised a malicious or false complaint against another person in order to prejudice that person, the Complainant may also be subject to appropriate disciplinary action, which may include termination of employment, engagement or relationship with the Company, as the case may be.

8. **MISCELLANEOUS**

The Company shall in consultation with the Committee periodically review the provisions of this Policy and its implementation (taking into account practical problems, if any, faced by the Committee and/or the Company in the implementation of this Policy). The Company reserves the right to amend the provisions of this Policy, from time to time, as it deems fit, subject to applicable law.

ANNEXURE-1

The details of the members of the Committee of the Corporate Office, Delhi of the Company are:

S. No	Name	E-mail Address
1.	Ms. Prabha Arora	prabha.arora@mankindpharma.com
2.	Ms. Shikha Gupta*	shikha.gupta@mankindpharma.com
3.	Ms. Shweta Verma	shweta.verma@mgcglobal.co.in
4.	Mr. Farhat Umar	farhat.umar@mankindpharma.com
5.	Mr. Abhishek Khare	abhishek.khare@mankindpharma.com

Note: The Presiding Officer of the Committee is Ms. Shikha Gupta.