

**LUMAX AUTO TECHNOLOGIES LIMITED**

**POLICY ON PREVENTION OF**

**SEXUAL HARASSMENT**

**OF WOMEN AT WORKPLACE**

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## 1. PURPOSE

Lumax Auto Technologies Limited (“Lumax” / “the Company”) is committed to provide a work environment that ensures every woman employee is treated with dignity and respect and afforded equitable treatment.

The Company is also committed to promote a work environment that is conducive to the professional growth of its women employees and encourages equality of opportunity.

The Company will not tolerate any form of sexual harassment and is committed to take all necessary steps to ensure that its women employees are not subjected to any form of harassment at the work place.

This policy is formulated to evolve a permanent mechanism for the prevention, prohibition and redressal of sexual harassment of women at workplace within the jurisdiction of the Company.

## 2. SCOPE

This Policy applies to

- All employees – means any person on the rolls of the organization including those on deputation, contract, temporary, part time, trainee or working as consultants, retainers and is deemed to be incorporated in the service conditions of all employees and comes into effect immediately.
- All the visitors associated with the Company & visiting any premises of the Company, or whose premises the Company’s employees visit during the course of business.

The workplace includes:

1. All offices or other premises where the Company’s business is conducted.
2. All other sites away from the Company’s premises where the Company related activities are performed.
3. Any social, business or other functions where the conduct or comments may have an adverse impact on the workplace or workplace relations.

## 3. POLICY

The Lumax D.K. Jain Group recognizes and promotes an equal opportunity to all its employees irrespective of their gender and is committed to create a healthy working environment that enables employees to work without fear of prejudice, gender bias and sexual harassment. The Group also believes that all employees have the right to be treated with dignity. Sexual harassment at the work place or other than work place if involving employees is a grave offence and is, therefore, punishable. It is incumbent on all employees to follow this policy and the guidelines formulated herein. The Company will not tolerate any kind of sexual harassment, if engaged in by customers/clients or by suppliers or any other business associates.

#### **4. DEFINITION OF SEXUAL HARASSMENT**

For the purpose of this Policy, Sexual Harassment includes any one or more of the following unwelcome acts or behavior (whether directly or by implication) namely –

- i) Physical contact and advances; or
- ii) A demand or request for sexual favours; or
- iii) Making sexually coloured remarks; or
- iv) Showing pornography; or
- v) Any other unwelcome physical, verbal or non-verbal conduct of sexual nature
- vi) Following circumstances, if it occurs or is present, in relation to with any act or behavior of sexual Harassment may amount to Sexual Harassment:
  - (a) Implied or explicit promise of preferential treatment in employment; or
  - (b) Implied or explicit threat of detrimental treatment in employment; or
  - (c) Implied or explicit threat about present or future employment status; or
  - (d) Interference with work or creating an intimidating or offensive or hostile work environment; or
  - (e) Humiliating treatment likely to affect health or safety.

#### **5. RESPONSIBILITIES REGARDING SEXUAL HARASSMENT**

All employees of the Company have a personal responsibility to ensure that their behavior is not contrary to this Policy. All employees are encouraged to reinforce the maintenance of a work environment free from Sexual Harassment.

#### **6. COMPLAINT MECHANISM**

Whether or not such conduct constitutes an offence under law or a breach of the service rules, a complaint mechanism in the form of “Internal Complaints Committee” has been created in the Company for time-bound redressal of the complaint made by the victim.

#### **7. REPORTING OF SEXUAL HARASSMENT ALLEGATIONS**

Persons who believe that they have been victims of Sexual Harassment should report the incident(s) immediately to Internal Complaints Committee as set forth below. Delay in reporting makes it more difficult to establish the facts of a case and may contribute to the repetition of offensive behavior.

#### **8. CONFIDENTIALITY**

The Company will do everything consistent with enforcement of this Policy and with the law to protect the privacy of the individuals involved and to ensure that the complainant and the accused are treated fairly. Information about individual complaints and their disposition is considered confidential and will be shared only on a “need to know” basis.

#### **9. ASSURANCE AGAINST RETALIATION**

This Policy seeks to encourage all employees to express freely, responsibly, and in an orderly way opinions and feelings about any problem or complaint of Sexual Harassment. Retaliation against persons who report or provide information about Sexual Harassment or behavior that might constitute Sexual Harassment is also strictly prohibited. Any act of reprisal, including

internal interference, coercion, and restraint, by an employee, violates this policy and will result in appropriate disciplinary actions.

#### 10. INTERNAL COMPLAINT COMMITTEE (ICC)

**COMPOSITION:** Initially, and till further notice, the Complaints Committee will comprise of the following four members out of which at least 2 members will be women:

- (a) A senior employee of the Company (preferably female), as may be nominated from time to time (Chairperson).
- (b) Not less than two members from amongst employees, who have had experience in social work or have legal knowledge.
- (c) One member from amongst NGOs or associations or a person familiar with the issues relating to sexual harassment.

**QUORUM:** A quorum of 3 members is required to be present for the proceedings to take place. The quorum shall include the Chairperson, at least two members, one of whom shall be a woman.

Each Plant and Office Location (work Place) of the Company shall constitute a separate Internal Complaints Committee consisting of four members as mentioned above. Each Plant Head or Office Location head shall issue an order in writing regarding constitution and nomination of the Internal Complaints Committee. Each copy of the said order shall be marked to the Chief Human Resource Officer (CHRO) and Company Secretary (CS) of the Company.

These ICCs will be notified to the CHRO and CS within 7 days if there is change in the members of the ICC at any location of the Company.

The Chairperson and every Member of the Internal Complaints Committee shall hold office for such period, not exceeding three years, from the date of their nomination.

The member appointed from amongst the NGOs or associations shall be paid fees or allowances for holding the proceedings of the Internal Complaints Committee by the Company as may be considered appropriate by the CHRO.

Where the Chairperson or any Member of the Internal Complaints Committee-

- i) has been convicted for an offence or an inquiry into an offence under any law for the time being in force is pending against him/her; or
- ii) has been found guilty in any disciplinary proceedings or a disciplinary proceeding is pending against him/her; or
- iii) has so abused his position as to render his/her continuance in office prejudicial to the public interest,

such Chairperson or Member shall be removed from the Committee and the vacancy so created or any casual vacancy shall be filled by fresh nomination.

## **11. PROCEDURES FOR RESOLUTION, SETTLEMENT OR PROSECUTION OF ACTS OF SEXUAL HARASSMENT**

The Company is committed to providing a supportive environment in which to resolve concerns of Sexual Harassment as under:

## **12. INFORMAL RESOLUTION OPTIONS**

1. When an incident of Sexual Harassment occurs, the victim of such conduct can communicate her disapproval and objections immediately to the harasser and request the harasser to behave decently.
2. If the harassment does not stop or if victim is not comfortable with addressing the harasser directly, she can bring her concern to the attention of the ICC for redressal of her grievances. The ICC will thereafter provide advice or extend support as requested and will undertake prompt investigation to resolve the matter.

## **13. COMPLAINT PROCEDURE**

Any employee with a harassment concern, who is not comfortable with the informal resolution options or has exhausted such options, may make a formal complaint to the Chairperson or any member of the ICC constituted by the Management.

The complaint shall have to be in writing and can be in form of a letter, preferably within 15 days from the date of occurrence of the alleged incident but not later than three months from the date of incident, be sent in a sealed envelope. Alternately, the employee can send complaint through an email. The employee is required to disclose her name, department, division and location she is working in, to enable the Chairperson to contact her and take the matter forward.

If such complaint cannot be made in writing, the Chairperson or any Member of the Committee shall render all reasonable assistance to the woman for making the complaint in writing. This period of three months can be extended by the Complaints Committee, for the reasons, to be recorded in writing, for a further period not exceeding three months, if it is satisfied that circumstances were such which prevented the woman from filing a complaint within the said period.

If the aggrieved woman is unable to make a complaint on account of her physical or mental incapacity or death or otherwise, her legal heir or such other person may make a complaint.

The Chairperson of the Complaints Committee will proceed to determine whether the allegations (assuming them to be true only for the purpose of this determination) made in the complaint fall under the purview of Sexual Harassment, preferably within 30 days from receipt of the complaint. In the event, the allegation does not fall under the purview of Sexual Harassment or the allegation does not mean an offence of Sexual Harassment, she will record this finding with reasons and communicate the same to the complainant.

If the Chairperson of the Complaints Committee determines that the allegations constitute an act of Sexual Harassment, he/she will proceed to investigate the allegation with the assistance of the Complaints Committee.

Where such conduct on the part of the accused amounts to a specific offence under the law, the Company shall initiate appropriate action in accordance with law by making a complaint with the appropriate authority.

The Complaints Committee may, before initiating an inquiry and at the request of the aggrieved woman take steps to settle the matter between her and the respondent (accused person) through conciliation provided that no monetary settlement shall be made as a basis of conciliation.

If the settlement has been arrived, the Complaints Committee shall record the settlement so arrived and forward the same to the Chief Executive Officer (CEO) to take action as specified in the recommendation.

The Complaints Committee shall provide the copies of the settlement as recorded, to the aggrieved woman and the respondent and no further inquiry shall be conducted by the Complaints Committee.

If the aggrieved woman informs the Complaints Committee that any term or condition of the settlement arrived has not been complied with by the respondent, the Complaints Committee shall proceed to make an inquiry into the complaint.

If both the parties are employees, the parties shall, during the course of inquiry, be given an opportunity of being heard and a copy of the findings shall be made available to both the parties enabling them to make representation against the findings before the Committee.

Grievance Redressal Process Flow is attached as **Annexure – 1**.

#### **14. INQUIRY INTO COMPLAINT**

During the pendency of an inquiry, on a written request made by the aggrieved woman, the Internal Complaints Committee may recommend to the Company to –

- i) Transfer the aggrieved woman or the respondent to any other workplace; or
- ii) Grant leave to the aggrieved woman up to a period of three months; or
- iii) Grant such other relief to the aggrieved woman.

The leave granted to the aggrieved woman shall be in addition to the leave she would be otherwise entitled.

The inquiry shall be completed within a period of ninety (90) days.

For the purpose of making an inquiry, the Internal Complaints Committee shall have the same powers as are vested in a civil court under the Code of Civil Procedure, 1908 when trying a suit in respect of the following matters, namely –

- i) Summoning and enforcing the attendance of any person and examining him on oath;
- ii) Requiring the discovery and production of documents; and
- iii) Any other matter which may be prescribed

## 15. INQUIRY REPORT

On the completion of an inquiry, the Internal Complaints Committee shall provide a report of its findings to the Plant head – in case of the Plant or the CEO - in case of Corporate Office/ Registered Office within a period of 10 days from the date of completion of the inquiry and such report be made available to the concerned parties.

If the Internal Complaints Committee arrives at the conclusion that the allegation against the respondent has not been proved, it shall recommend that no action is required to be taken in the matter.

If the Internal Complaints Committee arrives at the conclusion that the allegation against the respondent has been proved, it shall recommend that –

- i) To take action for Sexual Harassment as a misconduct in accordance with the provisions of the service rules applicable to the respondent.
- ii) To deduct, notwithstanding anything in the service rules applicable to the respondent, from the salary or wages of the respondent such sum as it may consider appropriate to be paid to the aggrieved woman or to her legal heirs, as it may determine.

The recommendations for corrective action may include any of the following:

- a. Formal apology
- b. Counseling
- c. Written warning to the perpetrator and a copy of it maintained in the employee's file.
- d. Change of work assignment / transfer for either the perpetrator or the victim.
- e. Suspension or termination of services of the employee found guilty of the offence

The Company shall act upon the recommendation within sixty (60) days of its receipt by him.

## 16. PUNISHMENT FOR MALICIOUS OR FALSE COMPLAINTS

Where the Internal Complaints Committee arrives at a conclusion that the allegation against the respondent is malicious or the aggrieved woman or any other person making the complaint has made the complaint knowing it to be false or the aggrieved woman or any other person making the complaint has produced any forged or misleading document, it may recommend to the Company to take action against the woman or the person who has made the complaint in accordance with the provisions of the service rules applicable to her or him.

Where the Internal Complaints Committee arrives at a conclusion that during the inquiry any witness has given false evidence or produced any forged or misleading document, it may recommend to the Company of the witness to take action in accordance with the provisions of the service rules applicable to the said witness.

## 17. DETERMINATION OF COMPENSATION

For the purpose of determining the sums to be paid to the aggrieved woman, the Internal Complaints Committee shall have regard to –

- i) The mental trauma, pain, suffering and emotional distress caused to the aggrieved woman;



- ii) The loss in the career opportunity due to the incident of sexual harassment.
- iii) Medical expenses incurred by the victim for physical or psychiatric treatment.
- iv) The income and financial status of the respondent.
- v) Feasibility of such payment in lump sum or in installments.

## **18. PROHIBITION OF PUBLICATION**

The contents of the complaint made, the identity and addresses of the aggrieved woman, respondent and witnesses, any information relating to conciliation and inquiry proceedings, recommendations of the Internal Complaints Committee and the action taken by the company shall not be published, communicated or made known to the public, press and media in any manner.

## **19. PENALTY FOR PUBLICATION**

Where any person entrusted with the duty to handle or deal with the complaint, inquiry or any recommendations or action to be taken contravenes the provisions, he shall be liable for penalty in accordance with the provisions of the service rules applicable to the said person.

## **20. APPEAL**

Any person aggrieved from the recommendations made in the Enquiry Report or non-implementation of such recommendations may prefer an appeal to the court or tribunal in accordance with the provisions of the applicable laws.

The appeal shall be preferred within a period of ninety (90) days of the recommendations.

## **21. DUTIES OF HR DEPARTMENT OF THE PLANT AND CORPORATE OFFICE**

The concerned HR Department shall:

- i) Provide safe working environment at the workplace which shall include safety from the persons coming into contact at the workplace.
- ii) Display at any conspicuous place in the workplace, the penal consequences of sexual harassments; and the order constituting the Internal Complaints Committee.
- iii) Organise workshops and awareness programmes at regular intervals for sensitizing the employees with the guidelines of this policy and orientation programmes for the members of the Internal Complaints Committee.
- iv) Provide necessary facilities to the Internal Complaints Committee for dealing with the complaint and conducting an inquiry.
- v) Assist in securing the attendance of respondent and witnesses before the Internal Complaints Committee.
- vi) Make available such information to the internal Complaints Committee, as it may require having regard to the complaint made by the aggrieved woman.
- vii) Provide assistance to the woman if she so chooses to file a complaint in relation to the offence under the Indian Penal Code or any other law for the time being in force.

- viii) Cause to initiate action, under the Indian Penal Code or any other law for the time being in force, against the perpetrator, or if the aggrieved woman so desires, where the perpetrator is not an employee, in the workplace at which the incident of sexual harassment took place.
- ix) Treat sexual harassment as a misconduct under the service rules and initiate action for such misconduct.
- x) Monitor the timely submission of reports by the Internal Complaints Committee.

## **22. ANNUAL REPORT**

The Internal Complaints Committees shall prepare an Annual report at the end of each calendar year, in such forms and at such time, as may be prescribed to the District Officer of the concerned District where the plant / office is situated. A copy of the same should also be sent to the Corporate HR department for information. The said Report shall include the details of the number of cases filed, if any, and their disposal.

In terms of the provisions of section 5 of the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013, the state government may notify a District Magistrate or Additional District Magistrate as a District Officer for every District.

## **23. POLICY OWNER**

The Head Corporate Communication or such other officer as may be nominated by the MD / CEO of the Company shall be the owner of this Policy and the Management of the organization shall provide all necessary assistance for the purpose of ensuring full, effective and speedy implementation of this policy.

## **24. CLARIFICATION**

In case of any clarification, any person may contact the Compliance Officer & the Company Secretary at the Corporate Office of the Company.

**This policy document has been last amended/modified by the Board of Directors in its meeting held on November 08, 2023.**

**GRIEVANCE REDRESSAL PROCESS FLOW**

