



DISCIPLINARY ACTION & GRIEVANCE REDRESSAL POLICY

RSE'S VISION TOWARDS PROVIDING FAIR &
EQUITABLE WORK OPPORTUNITY

R. SQUARE ENGINEERS

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R SQUARE ENGINEERS**

1 Objective

This policy aims to create an internal governance framework for the organization that defines 'unacceptable' employee actions and the resultant redressal approach to address such instances. It is designed to achieve fair methods for dealing with disciplinary and other matters (including conduct, capability and attendance), thereby contributing to sound relationships between **R. Square Engineers** and its employees.

The policy is not intended to be punitive in nature but outlines a staircase methodology and specifies Internal Action Committee who would be responsible to investigate and address various type of incidents as and when they are reported and/or identified. However, the procedural steps set out in this policy are a guide to be taken to deal with each situation reasonably and, wherever possible, help the person concerned to improve their conduct of behaviour to reach acceptable standards. The steps taken will depend upon the circumstances in each case and the point at which the disciplinary procedure is initiated, or the omission of any of the stages, will depend entirely on the seriousness and the nature of the misconduct.

Further, this policy also encourages employees to voice concerns about perceived injustice, mistreatment, or persistent obstacles caused due to interpersonal issues or issues arising from interpretation and implementation of Company's policies and processes. The idea is to emphasize on the importance of a harmonious relationship amongst the employees and to facilitate them to be able to address any grievances relating to their employment with the Company and in relation to interaction with superiors and/or peers at the workplace. These Procedures have been drafted pursuant to Section 9C of the Industrial Disputes Act, 1947 for the resolution of grievances raised by the employees.

2 Scope & Applicability

- i. This policy applies to all staff of **RSE** and those of Partner organisations (if any) who are in a relationship with the organization.
- ii. Not all grievances are related to HR. Grievance covers a wider area in the organisation, particularly those which are not directly related to or in the employee's immediate work area and people. But, in other areas which, though not frequented very often, they necessitate interaction for work purposes or for co-existence in the workplace by the employee.
- iii. This policy aims to focus on non-HR related areas, with the resolution responsibility involving the line manager of the department concerned. HR is certainly kept in the loop since the focus is around the employee and the incident.
- iv. HR-related grievances are covered in Company's Code of Conduct Policy, POSH Policy, Equal Employment Opportunity & Non-Discrimination Policy, etc.
- v. **RSE** will endeavour to address the grievance to the best possible extent as far as it is feasible, within its scope, is reasonable and has a larger impact to other employees, within legal/statutory ambit and is cost-effective.
- vi. **RSE** reserves the right to reject, cancel or postpone any grievance without assigning any reason whatsoever.

3 Roles & Responsibilities

3.1 Company's Expectations:

- i. All the employees shall update themselves with the procedures set out in this policy and to carry out your job in accordance with the Policy / Process applicable to your role.
- ii. All the employees shall comply with the Company's Code of Conduct and other policies of the Company and shall not engage in any act/omission resulting into an infraction at all times.
- iii. To maintain effective and professional work relationships with colleagues / fellow staff and treat all with dignity and respect.
- iv. To clarify expectations, behaviours and rules with your reporting manager, if you are unsure about them.
- v. The employees shall co-operate with their reporting manager, Human Resource ("HR") and the Internal Action Committee ("IAC") and participate in the disciplinary proceedings as and when required for the resolution of the infractions alleged against him/her.

3.2 Manager's Responsibility:

- i. Manage and to set an example to all staff/team through their own conduct and behaviour.
- ii. Reinforce clear standards for the conduct of all staff/team that they manage and provide appropriate feedback to their staff/team in respect of their conduct.
- iii. The reporting manager shall endeavour to resolve the issues of potential infractions initially through informal discussion with the employee.
- iv. The reporting manager shall act promptly upon receipt of a complaint against any employee and where necessary, shall ascertain the veracity of the complaint and its background.
- v. The reporting manager, in consultation with the HR, will be responsible to issue the necessary communication to the employee, upon finalization of the decision of the GAC and will, along with the HR, be responsible for ensuring that the decision is fully implemented.
- vi. The reporting manager shall monitor the employee's improvement, or lack thereof, in applying the prescribed corrective action.
- vii. The Manager shall seek advice from the HR on the policy and procedure where they are unsure how to proceed.

3.3 Others:

- i. The complainant will not be penalized in any manner and no retaliatory action will be taken against anyone for reporting or inquiring in good faith about potential infractions or for seeking guidance on how to handle suspected infractions. However, the Company reserves the right to take appropriate action against the complainant in case of frivolous and false complaints.
- ii. HR shall be responsible to spread awareness amongst all the employees with respect to these procedures and shall ensure that new employees are made aware of these procedures at the time of induction. HR will clarify any queries that the employees may have in relation to these procedures set out in this policy.
- iii. HR will be responsible to ensure facilitation of the disciplinary proceedings and will assist in the implementation of the disciplinary action recommended by the GAC.

4 Primary Areas for Disciplinary Actions

There are two primary areas in which disciplinary action may be required in order to maintain the smooth and effective running of **RSE**. The two areas are:

4.1 Minor Misconduct

This applies where it is alleged that there is some fault or blame on the part of the employee concerned. Misconduct can include, but will not be limited to, indulging in verbal abuse, persistent poor timekeeping, insubordination, disruptive behaviour or any other act which **RSE** considers to be a breach of the standards of discipline/ behaviour required.

4.2 Major Misconduct

In case the grievance by an employee leads to discovery of major misconduct by another employee(s) or associates or vendors of **RSE**, appropriate action will be taken by HR, while the identity of the complainant will not be disclosed in any manner or forum.

The list provided below is illustrative but not exhaustive and should be deemed that any other conduct not falling within the purview of what is stated below is akin to major misconduct.

- i. Fraud
- ii. Deliberate falsification of records
- iii. Embezzlement
- iv. Theft
- v. Intimidation, harassment, threats or acts of violence
- vi. Misuse or misappropriation of position or benefits
- vii. Wilful damage to organisation's assets, including those of its employees, partners, other stakeholders
- viii. Disparagement or defamation of the organisation, its employees, partners or other stakeholders
- ix. Taking or giving bribes or any other illegal gratification, including sexual gratification
- x. Serious incapability due to being under the influence of alcohol or being under the influence of illegal drugs at the workplace and during working hours
- xi. Serious negligence which causes unacceptable loss, damage or injury
- xii. Serious act of insubordination

Deception or inappropriate access to private and/or confidential Company records and/or information without authorisation or need-to-know

5 Causes of Grievances

An employee is dissatisfied and harbours a grievance when he feels there has been an infringement of his rights that his interests has been jeopardized. This sense of grievance generally arises out of misinterpretation or misapplication of company policies and practices. Grievances mostly arise out of following reasons:

- i. Concerning Wages
- ii. Concerning Supervision
- iii. General Working Conditions

- iv. Collective Bargaining
- v. Management Policies

6 Escalations & Classification of Disciplinary Action

All individual team members, managers, and leaders will be subject to disciplinary action, up to and including termination, for any act of harassment they commit. Although disciplinary action will be at the discretion of the Internal Action Committee specific to each case after the investigation, it can generally be classified into 4 levels. The levels are as follows:

6.1 Level 1: First time occurrences of inappropriate behaviour.

An act out of character. After formal investigation, co-workers still feel comfortable working with the offender. The attempt will be to sensitize first and facilitate formal apology towards inflicted parties.

6.2 Level 2: Recurring socially inappropriate behaviour.

It can lead to suspension (paid / unpaid based on country law), mandatory course on Inclusivity, formal apology towards inflicted parties, written admonition, potential transfer to another team and even has potential of termination.

6.3 Level 3: Major infraction.

It includes retaliation or recurring socially inappropriate behaviour after a written admonition. Can lead to termination of employment.

6.4 Level 4: Serious cases, including any Sexual or Criminal offence.

It can lead to termination of employment and perpetrator will be reported to the Police/Authorities for necessary Action, Training & Guidance as per the Governing Law

7 Methods of Understanding Employee Grievances

- i. Exit Interview
- ii. Opinion Surveys
- iii. Gripe Boxes
- iv. Open Door Policy
- v. Observation

8 Criteria

Except for major misconduct, no employee will be dismissed for a first breach of discipline under this policy. The level of any formal action will be dependent on the seriousness of the offence, having regard to the need for fairness and natural justice. The procedure is internal to **RSE** and does not allow for any external representation. No disciplinary action will be taken against an employee until the case has been fully investigated.

9 Grievance Redressal Procedure

- i. Employees may communicate their grievance in writing to the HR Manager first while at the same time, addressing a copy to the concerned department Head. In case the grievance involves the Reporting Manager, then the employee can contact the Reporting Head, while simultaneously copying the concerned Director.
- ii. HR after receipt of the grievance shall invite the concerned persons for a formal meeting, to provide them the platform to express his/her side of the incident.
- iii. If the grievance pertains to the same function where the employee works, the HR has to review and resolve the same based on the feasibility and availability of their Mentor or Director on the priority basis.
- iv. In other cases, HR may consult with the concerned departments or functions to which the grievance pertains to, for their action or feedback and revert to the employee with a course of action/solution preferably within 10 working days from the date of receipt of grievance.
- v. In case an employee is not satisfied with the solution, the employee may choose to represent the grievance to Unit Head, if the grievance concerns the Department Head.
- vi. The IAC will take a decision based on this recommendation and communicate their decision through the concerned department Manager to the aggrieved employee within 15 working days from commencement of inquiry.
- vii. Grievances will be treated with utmost confidentiality and sensitivity.
- viii. Human Resources shall maintain a record of all grievances referred to the IAC, number of grievances settled/pending and report to the Senior Management Team on a quarterly basis.

10 Non-Compliance & Consequence

Employees are restricted from sharing their personal grievances with other employees or co-workers in order to garner their support/attention or attempt to disrupt their business activities and distract them with such topics which may or may not be relevant to them. This policy is put in place for employees to submit their grievance through a proper channel. Any deviation from the set protocol by any employee or employees will be dealt with in accordance with the rules of this policy or any other such policies as appropriate by HR and management.

s/d

Mahesh Patel
(Proprietor)