



Reliance Infrastructure Limited

Discipline

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Corporate HR Reliance Infrastructure Ltd.	01.06.2024	5.0



Title	Discipline
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Business Scope	Reliance Infrastructure and Group / Associate Companies
Geographical	Across locations

Responsibility	<ul style="list-style-type: none">a. HR is responsible for the maintenance and advocacy of the Policyb. HR is responsible for compliance with local laws/ statutory requirementsc. HR and Competent Authority / HODs are responsible for implementing and ensuring communication of this policy to all staff with support of Business HR
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Assurance Check (Optional)	Head Audit
Policy Owner	HR Lead – Operations & Compliance
Final Approval	CHRO (Chief Human Resource Officer)
Topics	This document covers the policies and guidelines with respect to
	<ul style="list-style-type: none">• Disciplinary Procedure
	<ul style="list-style-type: none">• Committees
	<ul style="list-style-type: none">• Investigation / Hearing Procedures
	<ul style="list-style-type: none">• Disciplinary Sanctions
Deviation	Any deviation to the Policy shall be based on final approval of R-Infra CEO / CHRO

Discipline

1. Introduction

- 1.1. R-Infra conforms to a cardinal principle of positive discipline, which prompts an individual or a group to observe the Company's rules, regulations and procedures that are deemed necessary for smooth working of the Company.
- 1.2. All employees of R-Infra are expected to comply with rules - not from fear of recrimination but because of their desire to co-operate in achieving common organizational goal.
- 1.3. It also imparts an automatic training that produces an orderly or systematic behavior and self-control, where executives like to work and accept responsibility and are capable of controlling and directing themselves for achieving a common organizational objective.

2. Disciplinary Procedures

- 2.1. Management is responsible for implementing Governance Structure to ensure that there is an adequate supervision including decision making in whether an investigation is required.
- 2.2. In order to bring about a structure to the Disciplinary Procedure, the below governance structure in the form of committees has been designed :
 - 2.2.1. Disciplinary Committee (DC)
 - 2.2.2. Enquiry Committee
 - 2.2.3. Appeal Committee

3. Disciplinary Committee (DC)

- 3.1. The composition of Disciplinary Committee shall be constituted and communicated by Human Resources Department from time to time.
- 3.2. Role and Responsibilities of the Disciplinary Committee:
 - 3.2.1. A Secretary (preferred representation from HR Team) shall be the Secretary to the Committee and shall be owner for preparing minutes of Committee meetings and preserving the same.
 - 3.2.2. The Disciplinary Committee shall meet as and when decision is required based on Enquiry Team /Human Resource / Internal Audit Team request. The DC may choose to invite specific members of staff as may be relevant to the case.
 - 3.2.3. The Quorum for the meeting shall be a minimum of $2/3^{\text{rd}}$ of the total members and minimum 3 (three) members (with at least one being female staff).
 - 3.2.4. Any staff having a conflict of interest (reporting line /supervising line) with the complainant /accused cannot be a part of the Disciplinary Committee. In the event reported so, the Committee may decide to temporarily include staff members as a part of the Committee only for the said case to ensure quorum of minimum 3 (three) members is met.

- 3.2.5. In case the minimum quorum of the Disciplinary Committee is not available within office premises for any specific reason, the Committee will conduct the proceedings through Video Conferencing and Telephone calls. The decision made by the committee will be circulated through Mails / Circulars.
- 3.2.6. Minutes of Meeting shall be prepared by the Secretary of the Meeting which shall be signed and circulated to all the Members and Invitees to the DC Meeting
- 3.2.7. Deliberate on the root cause analysis of each fraud case and recommend actions.
- 3.2.8. The internal Audit team will ensure through the HR Learning & Development Team that there are on-going fraud awareness programs, including training for management and employees in relation to their responsibilities for preventing, detecting and reporting fraud.
- 3.2.9. The final report of DC in confidential sealed cover to be sent to the CEO / authorized representative for perusal, who will hold the final authority of implementation of the decision /recommendation.
- 3.2.10. The complete case details along with all annexures, all Minutes of Meeting (MOM) and final conclusion/recommendation to be handed over to HR Department representative.

Note: The employee has the power to appeal against the decision of DC (as has been guided in section 7)

4. Enquiry Committee (EC)

- 4.1. Enquiry Committee (EC) is a sub-committee to DC. Referring a case to EC is subject to analysis of the case and its sensitivity which may be done by either DC/HR or both.
- 4.2. The Enquiry Team will be primary responsible for Investigations / Analysis/ Reporting /Monitoring of the case.
- 4.3. Composition of the Enquiry Team: The composition of Enquiry Team would be as under:
 - 4.3.1. The Team can be formulated by the Human Resource Team in consultation with the Disciplinary Committee on a case-to-case basis.
 - 4.3.2. It is suggested that the Enquiry Committee constitutes of 4 employees from Business /HR/ Audit with minimum 1 (one) woman representative. The members have to be different from that of DC.
 - 4.3.3. The quorum of Enquiry Committee must be 50% of the total members nominated for a given case and the number should not be less than 3 (three).
 - 4.3.4. Any staff having a conflict of interest (reporting line/supervising line) with the complainant /accused cannot be a part of the Enquiry Committee

Note: The Internal Audit Team can be entrusted to take up the Investigations /Analysis /Reporting /Monitoring of Frauds, or External firm, in case internal expertise is not available with the Company, considering the nature of the case an external firm having relevant expertise can be appointed.

5. Roles and Responsibilities of the Enquiry Committee

- 5.1. The Enquiry Team will record all complaints / allegations received from employees on all potential incidents of fraud/misconduct.
- 5.2. Undertake the fact-finding exercise of each case and gather evidence.

- 5.3. All meetings need to be minuted and signed by all members of EC.
- 5.4. Conduct initial analysis, validate all reports and present the fact finding report to the Disciplinary Committee
- 5.5. Final report/Recommendation/Conclusion to be handed over to the DC along with the complete file containing all documents, annexures, evidence, MOMs etc.

6. Guidelines to Disciplinary Committee:

- 6.1. Erring employee shall be clearly informed of the charges leveled against him and he gets a reasonable notice period for attending the inquiry.
- 6.2. Erring employee shall be given an opportunity of adducing all relevant evidence on which he relies to argue the case in his favour.
- 6.3. Evidence in support of the charges shall be taken in his presence only.
- 6.4. Erring employees shall be given a chance to cross-examine all witnesses.
- 6.5. No material or fact shall be relied upon against erring employee without his being given an opportunity to explain.
- 6.6. Disciplinary Authority shall act in good faith and shall record clearly his findings with reasons thereof in his report.
- 6.7. There shall be no excessive and unjustifiable delay in initiating and completing inquiry and disciplinary action, if any.
- 6.8. Punishment imposed shall not be grossly disproportionate with the nature of misconduct.

7. Appeal Committee

- 7.1. When the complainant or accused/delinquent employee is dissatisfied by the Disciplinary Committee proceedings and subsequent hearing of the decision, he/she can request the Appeal Committee (AC) for reconsideration of the said decision within 7 (seven) days of the DC sanction.
- 7.2. The Appeal Committee must, post receiving the written request conduct its independent investigation and provide with a decision/conclusion.
- 7.3. Composition of the Appeal Committee:
 - 7.3.1. The Committee will be formulated by Human Resources Department in consultation with the Head of Organization as and when required. The composition of Appeal Committee would be as under:
 - 7.3.2. It is suggested that the Appeal Committee constitutes of 4 employees from Business / HR/ Audit with minimum 1 (one) woman representative but different from EC and DC.
 - 7.3.3. The quorum for Appeal Committee must be 50% of the total members nominated for a given case and should not be less than 3 (three) members.
 - 7.3.4. Any staff having a conflict of interest (reporting line/supervising line) with the complainant /accused cannot be a part of the Appeal Committee.
- 7.4. General Guidelines to Appeal Committee

- 7.4.1. The Employee will have the right to appeal only once against any disciplinary sanction imposed and will be informed of their right to appeal (time limit for appealing is 7 days from the date of DC sanction) in a letter confirming the disciplinary sanction (the Decision Letter).
- 7.4.2. An Employee who wishes to appeal against a disciplinary decision should inform the Disciplinary Committee.
- 7.4.3. The appeal hearing will be held as soon as reasonably practical after receipt of any appeal request. The Employee will be informed in writing of the date, time and venue of the appeal hearing reasonably in advance of the appeal hearing reasonably in advance of the appeal hearing.
- 7.4.4. The appeal will see and hear evidence covered at the disciplinary hearing and any new evidence provided by the Employee and/or the organization.
- 7.4.5. The Appeal Committee hearing the appeal will have the power to reverse or confirm the disciplinary decision, or to substitute a lesser sanction. The decision of the AC on hearing the appeal will be final. They will share the report with DC and Company Head within 2 (two) weeks of receiving the appeal request.
- 7.4.6. If there is new evidence which suggests that the Employee's conduct or performance is more serious than was contemplated at the original disciplinary hearing, a new disciplinary hearing may be convened.
- 7.4.7. The result of the appeal will be confirmed in writing following the hearing. The appeal decision will be final, and the Employee will have no further right of internal appeal in respect of this disciplinary sanction. The Employee will be advised of this when the appeal decision is confirmed.
- 7.5. Roles and Responsibilities of the Appeal Committee:
 - 7.5.1. Record all complaints / allegations received from employees on all potential incidents of fraud / misconduct, undertake the fact-finding exercise of each case and gather evidence.
 - 7.5.2. Conduct initial analysis, validate all reports and provide a decision or final outcome which may either be in agreement with DC or may vary.
 - 7.5.3. The final report of AC in confidential sealed cover to be sent to the Company Head /Administrator/ or authorized representative through DC for perusal, who will hold the final authority of implementation of the decision /recommendation.
 - 7.5.4. The complete case details along with all annexures, all Minutes of Meeting (MOM) and final conclusion /recommendation to be handed over to HR Department representative.

8. Investigation

- 8.1. Before deciding whether to proceed with a disciplinary hearing, an investigation may be required to establish a fair and balanced view of the facts.
- 8.2. Investigative interviews are solely for the purpose of fact finding (enquiry) and, in most cases, no decision on disciplinary action should be taken until a disciplinary hearing has been held including show cause notice.
- 8.3. Employees must cooperate fully in an investigation.

- 8.4. In most cases where an investigation is required, Employees will be made aware that a disciplinary investigation is being undertaken which specifically relates to them, other than where there are genuine concerns that would undermine the investigation.
- 8.5. If, given the circumstances of the case, the Disciplinary Committee considers it appropriate; an Employee may be suspended with full pay whilst investigation is ongoing.

9. Hearing

- 9.1. Employees should be given reasonable notice in writing before the disciplinary hearing. The Employee should also be provided with, or directed to, a copy of the Employee Policy and Procedures and advised in writing:
 - 9.1.1. That they are being invited to a disciplinary hearing under the Employee Discipline Procedures (a date, time and location for the meeting should be provided).
 - 9.1.2. The nature of the concerns regarding the Employee's performance or conduct.
 - 9.1.3. A summary of the relevant information gathered under the investigation (where an investigation has been held).
 - 9.1.4. The possible sanctions which may be taken.
- 9.2. The disciplinary hearing will generally be conducted by the Disciplinary Committee, who will explain the purpose of the hearing, the nature of the complaint and the possible disciplinary sanctions which may result from the hearing. The Secretary of the Disciplinary Committee will facilitate the process and a notetaker may also be in attendance. In appropriate cases, the organization may, at its discretion, involve an independent expert to assist in the disciplinary process.
- 9.3. Witness evidence may be provided by the witness in person, or if agreed between the organization and the witness, by way of a written statement.
- 9.4. The Employee will be given a full opportunity to respond to the issues being presented. Employees should contact the Disciplinary Committee or a member conducting the process if they would like to supply documentary evidence or suggest that individuals are asked to give evidence. The Employee will also be given the opportunity to raise any additional issues that they think the Committee should consider when making a decision.
- 9.5. The disciplinary hearing may be adjourned if the Committee needs to carry out any further investigations
- 9.6. Employees must take all reasonable steps to attend the disciplinary hearing. Failure to attend a hearing without good reason may be treated as misconduct. If an Employee fails to attend a disciplinary hearing on two occasions, without providing a good reason for this (prior to the meeting), the Committee will take a decision based on the information available at that time.
- 9.7. Within a reasonable period following the disciplinary hearing, the Complainant /Delinquent/ Accused will be advised of the Committee's decision in writing, together with the reason for the decision and the disciplinary sanction to be applied, where applicable. The Complainant /Delinquent /Accused will also be advised of their right to appeal and the deadline for making an appeal.

10. Imposing Disciplinary Sanctions

- 10.1. DC / AC sanctions is binding to all Employees, Consultants, Advisors, Trainees and Interns of the company and violation of the same may lead to dismissal of the concerned person.
- 10.2. All decisions to impose disciplinary sanctions will be confirmed to the Complainant/ Delinquent/ Accused in writing and their supervisory line to be kept informed. The Complainant /Delinquent /Accused should also be advised:
 - 10.2.1. Of the sanction/stage of the disciplinary procedure which has been reached (and, if appropriate, if the disciplinary process as a whole been completed).
 - 10.2.2. Of the reason for the sanction being imposed.
 - 10.2.3. In the case of performance, of the steps which the Complainant/Delinquent/Accused needs to take to improve to acceptable standards, and the potential consequences of continued failure to reach those standards (which could include warnings, or dismissal).
 - 10.2.4. In the case of continued misconduct, the potential consequences could include more serious warnings or dismissal.
 - 10.2.5. Of the duration of any warning given.
 - 10.2.6. Where the decision is to dismiss, of the date on which the employment will terminate
 - 10.2.7. Where the decision is to dismiss, of the full and final settlement (e.g., what will happen to their benefits and when they will receive relevant leaving documentation)
 - 10.2.8. Of the right of appeal against the decision and the name of the person to whom any appeal should be addressed, and the deadline for making an appeal; and
 - 10.2.9. Of the potential impact of the imposition of a disciplinary sanction on future salary and performance appraisal or promotion.
- 10.3. The Complainant /Delinquent/ Accused should also be provided with a highlight of the minutes of the disciplinary hearing if requested in writing providing a valid reasoning.
- 10.4. All decisions to impose disciplinary sanctions will be considered with utmost seriousness. All sanctions thus provided needs to be implemented within 10 (ten) days.
- 10.5. There are several disciplinary sanctions which may be imposed as a result of the Disciplinary Procedure. The main potential sanctions are as outlined in section 11.
- 10.6. The choice of sanction will depend on all the circumstances and the severity of the misconduct or performance issues.

11. Types of Disciplinary Sanctions

- 11.1. Formal verbal warning (recorded): If an employee does not meet acceptable standards of conduct or performance, the he/she will normally be given a formal verbal warning. A brief note of the warning will be kept in the employee's personnel file. The warning will be disregarded for disciplinary purposes after 6 (six) months, or after such a period as is appropriate under the circumstances, subject to satisfactory conduct, performance etc.

- 11.2. First written warning and suspension of 1 (one) month without pay: In cases of more serious misconduct or unsatisfactory performance, or where following the issue of a formal verbal warning the Complainant/Delinquent/Accused continues to fail to meet acceptable standards, a first written warning will normally be given. A copy of the warning will be kept on the Complainant's/Delinquent's/Accused's personnel file. The warning will be disregarded for disciplinary purposes after 6 (six) months or such other period as is appropriate under the circumstances, subject to satisfactory conduct and performance. Performance, conduct or other necessary objectives may be set by the Committee and the Complainant's/Delinquent's/Accused's progress against these objectives will be reviewed.
- 11.3. Final written warning and suspension of 3 (three) months without pay: If the Complainant's/Delinquent's/Accused's misconduct or unsatisfactory performance is sufficiently serious to warrant a final written warning or, despite the issue of a first written warning, the Complainant's/Delinquent's/Accused's conduct or performance is still unsatisfactory, a final written warning will normally be given. A copy of the warning will be kept on the Complainant's/Delinquent's/Accused's personnel file, but it will be disregarded for disciplinary purposes after 12 (twelve) months, subject to satisfactory conduct and performance. In exceptional circumstances, depending on the seriousness of the misconduct or unsatisfactory performance, the warning will remain active for a longer specified period, in which case, this will be clearly stated on the warning, together with the reasons why the warning is regarded as exceptional.
- 11.4. Impact on Salary Review and PLI: The Disciplinary Committee should discuss the issue with concerned HR team and inform the employee of the impending impact on salary / increment / PLI.
- 11.5. Dismissal:
- 11.5.1. Dismissal is likely to be the sanction imposed following the disciplinary process, where there have been findings of:
 - 11.5.2. Gross misconduct and Gross Incompetence
 - 11.5.3. Where the employee's poor conduct or performance (even if a "one off" event and even if the conduct took place outside the workplace, including online) has caused, or is likely to cause the organization significant financial or reputational risk or damage
 - 11.5.4. Where employee's conduct or performance fails to improve to the prescribed standards after the issuance of disciplinary warnings
 - 11.5.5. Malafide intent or established Conflict of Interest
 - 11.5.6. In cases of Gross Misconduct or Gross Incompetence, the organization is at liberty to terminate services of the employee for violation of Disciplinary sanctions even after adequate warning notices to the employee. Employee will normally be dismissed without notice and without payment in lieu of notice. The organization will not re-employ an Employee whose employment has been terminated for disciplinary reasons unless required to do so by law.

12. Gross Misconduct

- 12.1. The following non-exhaustive list provides examples of conduct which the organization may regard as Gross Misconduct:
- 12.2. Dishonesty, theft, or fraud.
- 12.3. Acts of or threats of violence.
- 12.4. Disregard of safety rules, including health and safety and fire regulations, being under the influence of alcohol or substance abuse (including un-prescribed or unlawful drugs) on organization's business or premises.
- 12.5. Communication of confidential information to third parties without authority.
- 12.6. Conducting unauthorized business on organization's premises or during office hours or using organization's resources.
- 12.7. A serious breach or neglect of duty or other action which results or may have resulted in a detriment to the organization's relations or standings.
- 12.8. Acting in a manner that is or maybe, in competition with the organization or misuse of the organization's products or property (including Intellectual Property Rights).
- 12.9. Harassment (verbal, written or physical), bullying, victimization, or discrimination; including online platforms for example via video calls, phone calls, social networking sites etc.
- 12.10. Serious and/or willful breach of organization or business specific policies or procedures.
- 12.11. Deliberate attempts to prevent another employee from making an internal suspicious activity report as required by the Code of Conduct Policy.
- 12.12. Falsification of records, serious and/or willful breach of Code of Conduct Policy.
- 12.13. Deliberate or willful attempts to gain unauthorized access to any information held on computer systems or other record systems of the organizations or its associated companies, whether the attempt was successful or not.
- 12.14. Serious misuse of organization's computers, peripherals, networks, emails, intranet, internet and other communications equipment and accessing, downloading, distributing pornographic or other offensive material.
- 12.15. Any act of serious insubordination, acts of repeated insubordination or willful failure to carry out reasonable instructions.
- 12.16. Criminal offences committed outside the workplace which impact on the employee's ability to do his or her job or bring the organization into disrepute; and
- 12.17. Serious inappropriate, unprofessional or morally reprehensible conduct outside the workplace (including online) which has or may bring the organization into the disrepute or which has irreparably damaged the working relationship between the employee and the organization.

- 12.18. In certain exceptional cases of gross misconduct (for example, a case of clear and flagrant violence in the workplace), it may be appropriate to by-pass the normal disciplinary hearing process set out and to dismiss the employee immediately (i.e., without holding a disciplinary hearing). Such cases are likely to be extremely limited and a decision should only be taken to pursue the modified disciplinary process after consultation with the Disciplinary Committee and the Disciplinary Committee consults the legal team. In these circumstances the following modified process shall apply:
- 12.19. The Employee is dismissed immediately and must be advised in writing at the earliest opportunity of.
- 12.19.1. The Employee's alleged misconduct led to the dismissal.
 - 12.19.2. The reasons for thinking at the time of the dismissal that the employee was guilty of alleged misconduct.
 - 12.19.3. The employee's right to appeal once against the dismissal.
 - 12.19.4. If the employee wishes to appeal against the dismissal, they must inform the Disciplinary Committee and the Disciplinary Committee must invite the employee to attend an appeal committee meeting;
- 12.20. The employee must take all reasonable steps to attend the appeal committee meeting.
- 12.21. After the appeal meeting, the organization must advise the employee of the final decision i.e., whether the dismissal is upheld or whether a lesser sanction will be substituted.
- 12.22. Where reasonably practicable, the appeal should be dealt with by the appeal committee member not involved in the earlier decision to dismiss.

13. Gross Incompetence

- 13.1. Gross incompetence occurs where an employee commits an act of serious negligence (including negligent omissions) which has or may have, seriously damaged the organization's reputation, business, property, equipment, product integrity or safety of other Employees.

14. Reporting

- 14.1. Minor conduct and performance issues should be managed on an ongoing basis by line Managers, through the appraisal / feedback process and where appropriate, a Performance Improvement Plan (PIP), with the intervention of the HR team.
- 14.2. The formal disciplinary process will be commenced when conduct or performance fails to improve to the required standards despite informal improvement processes or where the concerns about conduct or performance are sufficiently serious to warrant immediate disciplinary action.
- 14.3. Where the information is received / obtained from Manager/ HOD or via other authorized channel and prima facie appears violation of the Code of Conduct, HR is at the liberty to issue a Show cause notice and provide 7 (seven) days time for explanation and/or may refer the case to Audit/Disciplinary Committee.

- 14.4. Wherever a formal disciplinary process is required, line managers must consult with HR Department before instigating the formal disciplinary procedures or taking formal disciplinary action. Depending on the circumstances of the case, a fact finding investigation may be required before a disciplinary hearing is held.
- 14.5. Disciplinary procedure matters must be dealt without undue delay and final report with action must be completed within 4 (four) weeks from the date of complaint and if extended valid reasons be documented by the Disciplinary Committee.
- 14.6. The Employee should be notified in writing of the specific performance or conduct issues, the date on which any disciplinary hearing will take place and a summary of the reasons for the hearing. The Employee should also be provided with copies of any relevant evidence, including a summary of any investigation findings, in advance of the meeting (where this is practicable) and possible without breach of confidentiality
- 14.7. The employee must receive reasonable notice of the disciplinary hearing and all communications and the hearing itself must be conducted in a language which the Employee understands.
- 14.8. The Employee should have the right to present and discuss evidence and state his or her case at any disciplinary hearing.
- 14.9. A documentary record must be made of the disciplinary hearing which must be agreed as far as possible and signed by all the parties. Disciplinary records should be kept and used in accordance with all relevant data protection legislation.
- 14.10. The Employee should have the right and opportunity to make a single appeal against the decision made at or following a disciplinary meeting. The employee needs to express his/her wish to appeal the DC's decision within 7 (seven) days of the DC sanction. The appeal needs to be made in writing to the Appeal Committee.
- 14.11. The choice of disciplinary sanction will depend on the circumstances and severity of the performance or conduct issue.