
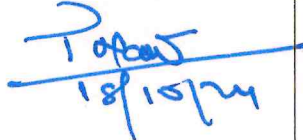



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1. Purpose and Scope

The purpose of **Consequence Management Policy- (CMP) Disciplinary Grid** is to provide fair and consistent approach to dealing with Employees whose conduct, behavior and/or performance falls below acceptable standards or regulatory requirements. Such employees will be subjected to disciplinary action as per the Disciplinary Grid. This **CMP** is applicable to all Employees employed by AGEL.

2. Policy Statement

It is AGEL's policy to achieve and maintain best standards in terms of behavior, performance, and attendance consistent with the organization's objectives and in the best interests of AGEL's reputation and those of the people who work here.

The policy aims to improve conduct or behavior and should not be seen purely as a method of correction and punishment.

This policy is intended only as a statement of AGEL policy and management guidelines. AGEL reserves the right to make changes to the policy from time to time.

AGEL expects employees to display acceptable standards of behavior and behave in a professional manner at all times during the course of employment. Please note that this includes occasions outside of the office, for example conduct/behavior at client meetings, on business trips, at work related social functions, and any other events where AGEL employees might be impacted.

We expect you to treat all others with respect in line with our core values and that your conduct is in line with our code of Business Ethics. In circumstances where it is deemed that you have not behaved appropriately the matter may be considered as a disciplinary offence.

Conduct/Behavior outside of employment may also in certain circumstances be the subject of disciplinary action where, for example it brings AGEL into dispute or where an individual is arrested or convicted of a criminal offence.

3. Guiding Principles

The procedure for dealing with disciplinary issues will comply with the general principles of natural justice and fair procedures which includes,

- a. The right to be fair and impartial in determination of the issues concerned taking into account any representations made by employee and any other relevant or appropriate evidence, factors or circumstances.
- b. The disciplinary process will be conducted in a confidential manner.
- c. Employee will be advised in advance of the allegations or complaints which are the subject of the disciplinary process.
- d. Employee will be given the opportunity to respond fully to any such allegations or complaints.
- e. Recording equipment is not permitted in any meeting during the disciplinary process or any meeting related to this process. Minutes will be taken for each meeting throughout the investigation and disciplinary process and will be shared with employee.

4. The Disciplinary Process

a. Allegation

- You will be made aware of any allegations made against you and the fact that the disciplinary process is being invoked in respect of those issues.

b. Investigation

- In most of the circumstances it will be necessary to carry out an investigation in order to establish the facts and circumstances of a particular matter before deciding whether to proceed with a disciplinary hearing.
- The investigation will be carried out by the investigation Manager i.e. someone within or outside AGEL (as appropriate) who will act in an impartial and independent manner in conducting the investigation and who will be supported by a AGEL IR Lead or HR Partner.
- Most investigations will include an interview or interviews with the individual whose alleged actions or omissions are being investigated.
- Employee are expected to cooperate fully with such interviews and to provide a full explanation of your actions.
- When the investigation is complete, the investigator will document the facts in an investigation report and if on the basis of these facts, they believe there is a further case to answer they will refer the case to a disciplinary panel.

c. Disciplinary Hearing

- If having considered the evidence gathered in the investigation report, the investigator feels that the matter warrants a formal disciplinary hearing, employee will be invited to a disciplinary hearing which will be conducted by a disciplinary Panel.
- The disciplinary Panel will consist of a chairperson (not previously involved) who is more senior than the employee involved and HR Representative (not previously involved)
- At the disciplinary hearing you will be presented with all the facts regarding the allegations collated in the investigation report and employee will have the opportunity to discuss the report and respond to its contents.
- The panel conducting the disciplinary hearing will ask whatever questions are necessary to ensure that they are in possession of all the facts on which to reach a decision.
- If employee fails to attend the disciplinary hearing when notified, the disciplinary hearing may continue in your absence unless there are exceptional circumstances that prevent your attendance.

d. Breaches of discipline and applicable sanctions

- In all cases where disciplinary sanction is being considered, the person issuing the sanction must seek the advice of his/her HR lead.
- The breaches of discipline listed below are not exhaustive and AGEL reserves the right to impose whatever sanction it considers appropriate for the nature of the offence and the circumstances in which it was committed.

5. The Disciplinary sanctions

- Note: In general, the disciplinary sanctions described above will be progressive. However, AGEL reserves the right to initiate the disciplinary process at whatever stage or level it deems appropriate considering the nature, circumstances, and seriousness of the matter.
- The disciplinary sanctions which are open to AGEL depending on the nature and circumstances of the matter are as follows.

a. Oral Warnings

- Minor breaches of discipline, misconduct, failure to maintain job performance standards, poor time keeping, etc., will result in an oral warning given by one's immediate superior or another appropriate person. A note of this warning may be made and kept on personal file. It is unlikely that further action will be necessary as in most cases an oral warning will quickly resolve most difficulties. Where there is a more serious breach of discipline or misconduct or an employee fails to improve and maintain that improvement in relation to conduct or job performance, formal disciplinary action may be taken.

b. Formal Warnings

Where the incident is more serious, where there is a repeat misconduct or where there is a failure to improve following an informal warning, first written warning may be issued detailing the shortcomings. A copy of the written warning will be placed on the personal file.

Breaches of standards or discipline which may lead to a first written warning. This list is not exhaustive and is provided only as an example:

- Repetition of a breach, for which an informal warning was issued.
- verbal mistreatment of colleagues
- an ongoing failure to follow supervisory instructions.
- tardiness or poor attendance
- Punctuality/ frequent late comings
- inappropriate use of AGEL's property, equipment, or facilities
- insubordination
- Habitual Absence/ Unauthorized absenteeism
- Obtaining leave on false grounds
- Negligence of Duty.
- Using Abusive language/ Bad words
- Fails to comply with transfer order
- Assaulting on the Factory Premises.
- Sexist comments.
- Misuse of Social Media
- Being drunk on duty
- Unauthorized use of password
- Submission of fake bills for his travelling/Claims
- Non timely submission of leave/Updating regularly

c. Final written warning and additional Sanctions

A final written warning may be issued where conduct or performance remains unsatisfactory or where there is a failure to improve during a current warning, where there is a repeat offence, or where an offence in itself merits a final written warning.

Breaches of standards or discipline which may lead to a final written warning. This list is not exhaustive and is provided only as an example:

- Any offence which is deemed to be of a more serious nature than would warrant a final written warning.

- Inappropriate behavior or misconduct which is deemed to be of a serious nature than would warrant a final written warning.
- Abusive or offensive behavior directed towards AGEL leaders, employee, client or visitor to AGEL.
- Serious breach of trust and confidence
- Professional negligence
- Serious act of insubordination, including refusal to work or perform your daily duties.
- Serious breach of any AGEL policy/procedure or code of business ethics.
- Habitual Offender- 3 or more habitual in any -preceding 12 months.

d. Additional Sanctions

Depending on the nature of the misconduct the Disciplinary panel may impose additional sanctions such as, but not limited to, the deferment of or exclusion from an annual salary award, removal from a promote list, transfer to any other position, demotion, or any other appropriate disciplinary action.

e. Dismissal

Employee may be dismissed on notice if there is a repetition of a breach of discipline if there is insufficient improvement in conduct or performance after final written warning has been issued or in case of gross misconduct where the above disciplinary process has been followed. Some acts or omissions may be deemed so serious as to warrant summary dismissal- i.e. dismissal without notice.

Breaches of discipline which may lead to dismissal.

- Repetition of any offence following a first written or final written warning.
- Abusive or offensive behavior directed towards AGEL leaders, employees, client, or visitor to AGEL.
- Unauthorized absence despite 3 warnings
- Failure to improve following a PIP.
- Fraud: e.g. fraudulent benefit claims, invoices, and expenses etc.
- Under the influence of possessing or supplying of alcohol or illegal drugs whilst on the premises of AGEL or its clients.
- Serious acts of insubordination including refusal to work or perform your daily duties.
- Undertaking secondary or additional employment which conflicts with AGEL work.
- Safety Violation as per CMP of AGEL Safety rules.
- Material breach of corporate policies, ethical breach,
- Any breach of policies dealing with related party dealings
- Negligence of a material nature or willful misconduct by the employee, in connection with the performance of his duties under his/her employment agreement
- Material failure by the employee to comply with lawful directions of the company or its Board.
- Fraud, misappropriation, dishonesty or the offering or acceptance of any gratification by the employee that is illegal or contrary to the policies.
- Stealing - irrespective of the amount involved.
- falsifying any official document
- Inviting opposite gender to room in Guest house or site (exception Mother, wife, sister, daughter)
- Breach regarding non-disclosure of confidential information.
- Deliberate damage to AGEL property or that of other members of AGEL.
- Disorderly or indecent conduct, fighting on AGEL premises or threatening physical violence.
- Acts of incitement or actual acts of discrimination on the grounds of sex, race, religion, color or ethnic origin

- Disclosure of Confidential information as per Non-disclosure and Intellectual Property Rights agreement
- Misuse of Intellectual property as per Non-disclosure and Intellectual Property Rights agreement
- Print, Digital and social media interaction
- Non-Compliance to Data Protection as per Non-disclosure and Intellectual Property Rights agreement
- Charges/indictment being brought before a court or authority, of the employees having committed any offence, under financial, anti-money laundering or securities regulations, or otherwise punishable with imprisonment exceeding 1 (one) year (excluding offences under road traffic legislation)

6. Suspension

At any stage of the disciplinary procedure the employee may be suspended with pay while circumstances are being investigated.

7. Appeals

At any stage of disciplinary procedure, the employee may appeal in writing to CEO/HR Head at first stage against any disciplinary action taken provided the appeal is made within 48 hours of the action. Under cases of Anti-bribery, Anti-corruption and Sexual Harassment, if employee is not satisfied with the appeal hearing at first stage, he/she may contact Board in writing against judgement of first appeal. This is a separate procedure from the CMP.

8. Roles and Responsibilities

IR/Employee Relations (ER) Contact: Responsible for periodic review of policy. Advise Line/senior Management.

Investigation Manager: Responsible for gathering the facts and evidence and writing the investigation report. They can conclude on the basis of these facts whether there is a further case to answer and refer the case to a disciplinary panel.

Disciplinary Panel: Conducts disciplinary process in accordance with procedures, reaches and delivers a fair decision following the appeal.

Appeals Panel: Manages the appeal hearing in accordance with procedures reaches and delivers a fair decision following the appeal.

Chief People Officer: Oversees this policy and is informed of any potential dismissals as a result of disciplinary sanctions, is also responsible for approving a dismissal in any case.