

**2023**

**Policy on Prevention and Redressal of Sexual Harassment at the  
WorkplaceAlpha Alternative Holdings Private Limited**

# Policy on Prevention and Redressal of Sexual Harassment at the Workplace

## 1. POLICY

**Applicable to Alpha Alternatives Holdings Private Limited and its affiliated subsidiaries.**

1.1 Alpha Alternatives is an equal employment opportunity company and is committed to creating a healthy working environment that enables employees to work without fear of prejudice, gender bias and sexual harassment. The Company also believes that all employees of the Company 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.

1.2 This policy takes complete cognizance of the legislation by the Government of India "The Sexual Harassment at Workplace (Prevention, Prohibition and Redressal) Act 2013 ("the Act") and shall be revised to adhere with any modifications to the Act, that may be introduced from time to time. This Act is to provide protection against sexual harassment of women at workplace and for the prevention and redressal of complaints of sexual harassment and for the matters connected herewith or incidental thereto.

## 2. OBJECTIVE:

The Company believes in providing a non-hostile safe working environment without fear of prejudice, gender bias and Sexual Harassment to all its Employees. The Company endeavors to respond promptly to the reports of Sexual Harassment and will take appropriate steps to discipline behavior that violates this and, if necessary, facilitate legal action. It is the specific objective of this Policy to ensure compliance to the Act and directions of the Hon'ble Supreme Court laid down in Vishakha and Others v State of Rajasthan.

The objective of this Policy is to provide protection against Sexual Harassment of the Employees at Workplace and for the prevention and redressal of Complaints of Sexual Harassment.

All concerned should take cognizance of the fact that the Company strongly condemns and opposes Sexual Harassment, and that such behavior against women is prohibited by the law as set down in Act, Indian Penal Code, 1860 as well as the terms of employment.

Commission of any act of Sexual Harassment will result in strict disciplinary action. At the Company, we have zero-tolerance for Sexual Harassment. We value each and every Employee working with us and wish to protect their dignity and self respect. In doing so, we are determined to promote a working environment in which persons of both genders complement each other as equals. We strive to create an environment that encourages maximum productivity of the Employees and allows them to keep their personal dignity.

We at the Company are committed towards giving every Employee a just and fair hearing on issues encountered by them at the Workplace in relation to Sexual Harassment.

## 3. Scope

This Policy applies to:

- All the Employees of the Company at Workplace (full timers / part timers / contract);
- All the office premises and areas which can be termed as extension of Company's Workplace;
- Any interaction arising as a result of employment within the Company; and
- All visitors / vendors associated with the Company and visiting any premises of the Company.

## Policy on Prevention and Redressal of Sexual Harassment at the Workplace

### 4. Definitions

#### a. Sexual Harassment

Sexual harassment may include any of the following but not limited to:

- unwelcome sexual advances, requests or demand for sexual favors, either explicitly or implicitly, in return for preferential/ detrimental treatment in employment, effecting promotion, examination or evaluation of a person towards any company activity;
- unwelcome sexual advances involving verbal, non-verbal, or physical conduct such as sexually colored remarks, jokes, letters, phone calls, e-mail, gestures, lurid stares, physical contact and advances or molestation, stalking, sounds, display of pictures, signs, verbal or non-verbal communication which offends the individuals sensibilities and affect her/his performance;
- eve teasing, innuendos and taunts, physical confinement against one's will and likely to intrude upon one's privacy;
- act or conduct by a person with interference in work or creating the environment at workplace hostile or intimidating\* to a person belonging to the other sex;
- conduct of such an act at work place or outside in relation to an Employee of Alpha Alternatives, or vice versa during the course of employment;
- any unwelcome gesture by an employee having sexual overtones;
- a demand or request for sexual favors;
- showing pornography or opening any pornography in the presence of another employee of the opposite sex; and
- any abatement or instigation to another person to commit any of the above acts.
- Humiliating treatment likely to affect employee's health or safety.

Includes any one or more of the following unwelcome acts or behavior which has been directed against a person either directly or indirectly or by implication, namely:

- physical contact and advances/ offensive language involving unwelcome and explicit sexual overtures; or
- a demand or request for sexual favours; or
- making sexually coloured remarks and/or bawdy humor; or showing any pornography material; or
- any other unwelcome physical, verbal or non-verbal conduct of sexual nature.

Following circumstances amongst other circumstances mentioned above may constitute Sexual Harassment if it occurs or is present in relation or connected with any act or behavior of Sexual Harassment:

- a. any unwelcome sexual advances, requests or demand for sexual favors, either explicitly or implicitly, in return for employment, promotion, examination or evaluation of a person towards any Company activity;
- b. any unwelcome sexual advances involving verbal, non-verbal, or physical conduct such as sexually colored remarks, jokes, letters, phone calls, e-mail, sms, gestures, showing pornography, lurid stares, physical contact or molestation, stalking, sounds, display of pictures, signs, verbal or non-verbal communication which offends the individual's sensibilities and affects her/his performance;
- c. entry into specific areas earmarked for female employees with the intent to commit mischief and harassment;

## Policy on Prevention and Redressal of Sexual Harassment at the Workplace

- d. eve teasing, innuendos and taunts, physical confinement against one's will and intrusion into one's privacy;
- e. act or conduct by a person in authority which creates a hostile environment at the workplace or intimidates the person belonging to the other sex;
- f. implied or explicit promise of preferential treatment in their employment;
- g. implied or explicit threat of detrimental treatment in their employment;
- h. implied or explicit threat about their present or future employment status;
- i. interfering with their work or creating an intimidating or offensive or hostile work environment; humiliation treatment likely to affect their health or safety;
- j. humiliating treatment likely to affect the health and safety of the aggrieved person.

In addition to the instances mentioned hereinabove, any other acts or behavior, which outrages the modesty of a female Employee, will be considered as Sexual Harassment.

**\*Explanation:** Creates the environment at workplace "hostile or intimidating" means:

- a. Creating a workplace where Sexual Harassment may go unheeded, where despite complaints no action is taken, where there is nexus between accused/aggressor & higher management, and where complainant is placed under fear, disadvantage or threat of victimization.
- b. It will also mean Retaliation which includes:
  - marginalizing someone in the workplace with regard to his / her roles and responsibilities
  - socially ostracizing
  - intimidating someone physically, psychologically, emotionally or
  - someone close to or related to the victim
  - spreading canard
- c. And any other behavior that may commonly be construed as retaliatory.

### **b. Employee:**

"Employee" means any person on the rolls of the Company including those on deputation, contract, temporary, part time, training or working as consultants or free-lancer, whether for remuneration or not, and includes anyone involved within the business premises of Alpha Alternatives.

### **c. Aggrieved Individual**

An Aggrieved Individual, in relation to a workplace, is a person, of any age, whether an Employee or not, who alleges to have been subjected to any act of Sexual Harassment.

### **d. Complainant**

A Complainant is any Aggrieved Individual who makes a complaint alleging Sexual Harassment under this Policy and includes persons specified under clause 5.a. of this policy, if the Aggrieved Individual is unable to make a complaint on account of his/her physical or mental incapacity or death or otherwise.

## Policy on Prevention and Redressal of Sexual Harassment at the Workplace

### e. Respondent

A Respondent means the person against whom the Complainant has made a complaint.

### f. Workplace

- Premises, locations, establishments, offices, branches or units established, owned, controlled by the Company.
- Includes any department, organization, undertaking, establishment, enterprise, institution, office or branch unit of the Company and any place visited by the Employee arising out of or during the course of employment including transportation provided by the Employer for undertaking such journey.

## 5. INTERNAL COMPLAINTS COMMITTEE:

The Company has an Internal Complaints Committee also known as the Anti Sexual Harassment Committee (ASHC). If the administrative units of a company are located at different places, the ASHC shall be so constituted so as to cover all administrative units or offices falling under one jurisdiction.

The ASHC shall comprise the following:

- A senior level woman Employee shall be appointed as the presiding officer of the ASHC (“**Presiding Officer or Chairperson**”). The Chairperson shall automatically vacate her office upon ceasing to be Employee of the Company.
- At Least 50% of the ASHC representatives shall be women.
- One member from amongst non-governmental organizations or associations committed to the cause of women or a person familiar with the issues relating to Sexual Harassment.
  - a. The Chairperson and every member of the ASHC shall hold office for a period not exceeding three years, from the date of their nomination.
  - b. A member of the ASHC may resign at any time by tendering his resignation in writing to the Head – Human Resources of the Company.
  - c. A minimum quorum of 3 members is required to be present for the proceedings to take place and a majority of them shall be ladies. The Committee shall have a Chairperson for the proceedings.

## 6. PRE-REQUISITIES FOR FILING A COMPLAINT

- The Complainant should be a person, who is authorized to be associated with the Company, including but not limited to regular, temporary, ad-hoc employees, consultants, and executive/management trainee;
- The alleged accused should be a person under the control and supervision of the Company;
- There should have been an act of unwelcome sexual behavior falling within the ambit of ‘Sexual Harassment’;

## Policy on Prevention and Redressal of Sexual Harassment at the Workplace

- The alleged act of Sexual Harassment should have been committed in the Company premises or areas which can be termed as a notional extension of the Company premises such is Company transportation, Company offsite, etc.

### 7. **INQUIRY AND REDRESSAL PROCESS**

#### **a. Complaint of Sexual Harassment**

Any Complainant can make a complaint in writing by sending an email to the ASHC at [posh@alt-alpha.com](mailto:posh@alt-alpha.com) within three months from the date of last occurrence of incident. The ASHC may, for the reasons to be recorded in writing, extend the time limit not exceeding three months, if it is satisfied that the circumstances were such which prevented the Complainant from filing a complaint within the said period.

- i. If the Aggrieved Individual is unable to make a complaint on account of his/her physical incapacity, a complaint may be filed by:
  - his/her relative or friend; or
  - his/her co-worker; or
  - an officer of the National Commission for Women or State Women's Commission; or
  - any person who has knowledge of the incident, with the written consent of the Aggrieved Individual
- ii. If the Aggrieved Individual is unable to make a complaint on account of his/her mental incapacity, a complaint may be filed by:
  - his/her relative or friend; or
  - a qualified psychiatrist or psychologist; or
  - the guardian or authority under whose care he/she is receiving treatment or care; or
  - any person who has knowledge of the incident jointly with the Aggrieved Individual's relative or friend or qualified psychiatrist or psychologist, or guardian or authority under whose care he/she is receiving treatment or care
- iii. If the Aggrieved Individual for any other reason is unable to make a complaint, a complaint may be filed by any person who has knowledge of the incident, with his/her written consent.
- iv. If the Aggrieved Individual is deceased, a complaint may be filed by any person who has knowledge of the incident, with the written consent of his/her legal heir. The Complainant shall submit six copies of the complaint along with supporting documents and relevant details concerning the alleged incident(s), the name and details of the Respondent and names and addresses of the witnesses to any ASHC member.
- v. The ASHC may, depending on the facts of the case, also accept oral complaints under this Policy which may be reduced in writing by a member of the ASHC and signature of the Complainant shall be obtained thereon.
- vi. The complaint can also be submitted to the ASHC electronically at [posh@alt-alpha.com](mailto:posh@alt-alpha.com)

#### **b. Conciliation**

Prior to initiating an inquiry, the ASHC may, at the request of the Complainant take steps to settle the matter between the Complainant and the Respondent through conciliation, provided that no monetary settlement is made basis of such conciliation. In case a settlement as stated aforesaid has been arrived at, the ASHC shall record the settlement so arrived and forward the same to the Head HR

## **Policy on Prevention and Redressal of Sexual Harassment at the Workplace**

to take action as specified in the recommendation of the ASHC

The ASHC will provide copies of the settlement as recorded to the Complainant and the Respondent. Upon conciliation being reached, the ASHC would not be required to conduct any further inquiry.

### **c. Inquiry**

Subject to the provisions of Clause 5.b. of this Policy and in the event of any term or condition of the settlement not been complied with by the Respondent, the ASHC shall conduct an inquiry regarding the complaint.

- i. On receipt of the complaint, the ASHC shall send one of the copies received from the Complainant to the Respondent within a period of seven working days.
- ii. The Respondent shall file his reply to the complaint along with his list of documents, and names and addresses of witnesses, within a period not exceeding ten working days from the date of receipt of the documents.
- iii. The ASHC shall make an inquiry into the complaint in accordance with the principles of natural justice. The ASHC must notify in writing, the time and dates of its meetings to the Head – Human Resources of the Company, the Complainant and the Respondent, not less than 3 days in advance of any such meeting.
- iv. While conducting the inquiry, a minimum of three members of the ASHC including the Presiding Officer or Chairperson, as the case may be, shall be present.
- v. The ASHC shall have the powers to summon and enforce the attendance of any person and conduct an examination, request the discovery and production of documents and / or any other matter which may be prescribed and deemed necessary for the inquiry process.
- vi. The ASHC 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 consecutive hearings convened by the Chairperson or Presiding Officer. Provided that such termination or ex-parte order may not be passed without giving a notice in writing, fifteen days in advance, to the party concerned.
- vii. The Complainant and the 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 ASHC. However, they may be accompanied by a colleague for psychological or emotional support. Such colleague will not speak at or otherwise interfere with the proceedings of the ASHC unless permitted so to do by the ASHC.
- viii. All colleagues and witnesses including the Complainant and the Respondent who are part of the ASHC proceedings shall keep all details thereof strictly confidential.
- ix. During the course of inquiry, the Complainant and the Respondent shall 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 ASHC.
- x. The inquiry shall be completed within a period of ninety days from the date of receipt of the complaint, unless the time is extended by the ASHC depending upon the facts of the case.

### **d. Action during Pendency of Inquiry**

- i. During the pendency of an inquiry, on a written request made by the Complainant, the ASHC may recommend the following to the Company:
  - transfer the Aggrieved Individual or the Respondent to any other workplace; or
  - grant leave to the Aggrieved Individual upto a period of three months; or
  - grant such other relief to the Aggrieved Individual as may be prescribed under

## Policy on Prevention and Redressal of Sexual Harassment at the Workplace

- applicable law; or
- restrain the Respondent from reporting on the work performance of the Aggrieved Individual or writing his/her confidential report and assign the same to another officer
- ii. The leave granted to the Aggrieved Individual shall be in addition to the leave he/she is otherwise entitled to.
- iii. On receiving a recommendation from the ASHC, the Company shall implement the recommendations and send a report of such implementation to the ASHC.

### e. Inquiry Report and Actions

- i. On the completion of an inquiry, the ASHC shall provide a written report of its findings to the Head – HR, within a period of ten days from the date of completion of the inquiry and such report be made available to the concerned parties.
- ii. In the event that the ASHC arrives at the conclusion that the allegation against the Respondent has not been proved, it shall recommend to the Head – HR, that no action is required to be taken in the matter.
- iii. Where the ASHC arrives at the conclusion that the allegation against the Respondent has been proved, it shall recommend in writing to the Head – HR, to take action against the Respondent, which may include:
  - a written apology from the Respondent
  - a letter of warning may be placed in the personal file of the Respondent
  - reprimand or censure
  - immediate transfer or suspension without pay
  - termination from service
  - withholding of promotion and/or pay rise or increments
  - register an FIR against the Respondent in case the act alleged, prima facie constitutes an offense under the Indian Penal Code
  - deduction from the salary or wages of the Respondent such sum as it may consider appropriate to be paid to the Aggrieved Individual or to his/ her legal heirs
  - such other action as the ASHC may deem appropriate in the circumstances of the case.
- iv. In case the Company is unable to make deductions from the salary/termination benefits of the Respondent/other amounts payable by the Company to the Respondent due to his being absent from duty or cessation of employment, it may direct the Respondent to pay such sum to the Complainant. In case the Respondent fails to pay the sum referred above, the ASHC may forward the order for recovery of the sum as an arrear of land revenue to the concerned district officer.
- v. The Company shall act upon the recommendation given by ASHC within sixty days of receipt of the recommendation.

### f. PUNISHMENT FOR FALSE OR MALICIOUS COMPLAINT AND FALSE EVIDENCE:

Where the IC arrives at a conclusion that the allegation against the Respondent is malicious or the aggrieved Employee or any other person making the Complaint has made the Complaint knowing it to be false or the aggrieved Employee or any other person making the Complaint has produced any forged or misleading document, it may recommend to the Employer to take action in accordance with the provisions of the service rules applicable to her or to take any action including a written apology, warning, reprimand or censure,

## **Policy on Prevention and Redressal of Sexual Harassment at the Workplace**

withholding of promotion, withholding of pay rise or increments, terminating from service or undergoing a counseling session or carrying out community service.

It is to be noted that this statement is not intended to discourage employees from coming forward with any complaints. The Company recognizes and expects that some claims may be difficult to prove or support, or may not in fact be found to raise to the level of seriousness deemed necessary to constitute Sexual Harassment. These types of Complaints will not be considered to be false accusations.

### **g. CONFIDENTIALITY:**

The Company understands that it is difficult for the victim to come forward with a Complaint of Sexual Harassment and recognizes the Complainant's interest in keeping the matter confidential.

To protect the interests of the Complainant, the accused person and others who may report incidents of Sexual Harassment, confidentiality will be maintained throughout any investigatory process to the extent practicable and appropriate under the circumstances.

### **h. ACCESS TO REPORTS AND DOCUMENTS:**

All records of Complaints, including contents of meetings, results of investigations and other relevant material will be kept confidential by the Company except where disclosure is required under disciplinary or other remedial processes.

### **i. ASSURANCE AGAINST RETALIATION:**

This Policy seeks to encourage all the 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 subject to other rights that the Company and aggrieved Employee may have under law, result in appropriate disciplinary actions.

### **j. VIOLATIONS AND PENALTIES:**

Based on the result of a comprehensive investigation by the IC, any Employee found to be in violation of this Policy is, subject to other rights that the Company and aggrieved Employee may have under law, liable to be terminated from the services of the Company with immediate effect.

### **k. MISCELLANEOUS:**

- Company may make any alteration or amendment or rescind any of the clauses of this Policy in furtherance of the object/purpose for which this Policy is framed, as and when it finds it necessary to do so as long as it complies with the Act.
- Nothing contained in this Policy will operate in derogation of any law for the time being in force or to the prejudice of any right of any Employee under any other rules or law.
- The IC will prepare an annual report with the following details and submit the same to the Company to include in its annual report:
  - Number of Complaints of Sexual Harassment received during the year;
  - Number of Complaints disposed off during the year;
  - Number of cases pending for more than 90 (ninety) days;

## **Policy on Prevention and Redressal of Sexual Harassment at the Workplace**

- Number of workshops or awareness program against Sexual Harassment carried out; and
- Nature of action taken by the Employer.

### **I. OBLIGATIONS OF THE MANAGEMENT:**

- The management shall provide all necessary assistance for the purpose of ensuring full, effective and speedy implementation of the Policy.
- The management shall ensure that the IC shall be reconstituted once the term of the existing committee is over. In cases if there is/are any complaint(s) against any of the IC members the management shall take immediate steps to reconstitute the IC. The time limit specified under this policy shall be inclusive of the time taken for reconstituting the committee.
- The management will monitor timely submission of reports. For this, the management will conduct periodic update meetings with the IC to ensure that the said Policy is being implemented in letter and spirit.
- The management shall provide assistance to the Complainant if she so chooses to file a complaint with the police in relation to the offence under the Indian Penal code, 1860 or any other law for the time is being imposed.
- The management will also initiate action under the Indian Penal Code or any other law for the time being in force, against a perpetrator, where the perpetrator is not an employee of the establishment and there is complaint of Sexual Harassment against the said perpetrator in the Workplace where the harassment took place.
- The management shall ensure that the annual report of the Company includes the measures taken for ensuring the provisions of the Act are fully complied with and the complaints received under this policy and the action thereon.
- The Management will create awareness amongst the Employees on Sexual Harassment in the following manner:-
  - a) Training cum Awareness session for the Employees
  - b) Training cum Awareness session for the IC members
  - c) Training cum Awareness session for human resource teams and senior management.

### **8. CONCLUSION:**

The Company has always strived to create a conducive work environment where the relationship between male and female Employees is extremely cordial and will adhere to the provisions of the Act. The objective of this Policy is to create and enhance awareness amongst the Employees. It would be the joint responsibility of human resources team and business heads to create a fair, honest and comfortable work environment and also to conduct seminars, workshops, awareness programme etc.

**Policy on Prevention and Redressal of Sexual Harassment at the Workplace**

**Annexure A**

**Format of Complaint**

<b>Incident Reporting Format</b>	
Name of the Complainant/Victim:	
Incident Reported against (Name of the Respondent):	
Date of Reporting	
Incident Details:	
What happened?	
Who was involved?	
When did the incident take place?	
Where did the incident take place?	
How did you get to know this?	
Was it the first time this has occurred or has it happened previously?	
Any witnesses? If yes, please share their names?	
Is there any other physical evidence or documents of the incident?	
If yes, please attach the document or evidence	
Anything else that you would want to mention?	

(Signature of the Complainant/ Aggrieved Woman)