


Disciplinary Action

SOP title	Disciplinary Action
SOP number	IR.39
SOP status	Revised
Version number	1
SOP effective date	April 1, 2016
Last review date	July 1, 2024
Next review date	July 1, 2026
Business Function	Human Resources
Department	Industrial Relations
Annexure(s)	None

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1. Purpose

Ensure uniform procedures for conducting disciplinary action against team members, either for negligence in discharge of their responsibilities or for specific acts of commission, omission, and misconduct.

2. Scope

All team members in the non-management cadre of Atul and its subsidiary, associate and joint venture entities.

3. Definitions and abbreviations

Bu | Fu - Business | function

IR - Industrial Relations department

4. Responsibility

4.1. Bu | Fu HR and IR are responsible to ensure fair and proper disciplinary action as per guidelines and the gravity of misconduct.

4.2. Section manager | Department head is responsible to provide the correct and timely information and written evidence against the team member for whom disciplinary action is to be initiated.

5. Policy statement(s)

This procedure aims to facilitate smooth and effective administration of disciplinary action based on the principle of natural justice.


6. Procedure

6.1. Disciplinary action is initiated based on the written complaint from respective manager and the head of the department. The complaint should be addressed to Bu | Fu HR and should contain the statement date, time, venue and brief of the incident or any act of commission or omission resulting in to misconduct observed as per the Standing Orders or the Company's rules and regulations.

6.2. Bu | Fu HR should do an investigation based on the report received from the respective section | department. Subsequently he | she should take cognizance of the gravity of the misconduct, and accordingly ensure all documentation required against the team member for disciplinary action.

6.3. Based on the guidelines or precedents, the Bu | Fu HR manager should decide disciplinary procedure (i.e., advisory, warning letter, show cause, charge sheet, suspension pending inquiry) in consultation with Head – IR.

6.4. Post disciplinary procedure, based on guidelines or precedents, Bu | Fu HR should decide punishment (i.e., warning, stoppage of increment, demotion, suspension up to four days


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or dismissal with | without notice) based on the principle of natural justice, in consultation with Head – IR | Head – HR.

- 6.5. All disciplinary procedures | punishments should be discussed with the concerned stakeholders to bring awareness on the subject matter, and as a pre-emptive measure to restrict cases of indiscipline | misconduct.
- 6.6. Disciplinary action in case of absenteeism shall be initiated as per the guidelines given below:

Sr. no.	Total absent days in the last 12 months	Action
1	Up to 7 days	Advisory letter
2	>7 and up to 10 days	Warning notice
3	>10 and up to 15 days	1) Show cause notice 2) To get the reply 3) Warning letter
4	>15 days	1) Charge sheet to be issued 2) To get the reply 3) To conduct departmental inquiry 4) Issue second show cause notice 5) To get the reply 6) Final actions

- 6.7. For cases apart from absenteeism (i.e., early bathing, punching in uniform, sleeping while on duty, theft, misbehaviour with a co-worker | supervisor | manager, disobedience to canteen timing, late coming, etc) and any non-compliance of a clause in the settlement | standing orders, which directly affect organisational discipline, appropriate disciplinary action shall be initiated as per the guidelines or precedents, and on the basis of the gravity of the misconduct, post which punishment can be given as per clause 6.4.
- 6.8. The principle of natural justice is to be followed during the disciplinary action procedure.
7. **EHS**
Not applicable
8. **Training**
Not applicable
9. **Reference to related policy | procedure**
SOP on domestic inquiry

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10. Interpretation

Queries pertaining to interpretation | procedure shall be directed to Head – IR.

11. SOP change history

Version no.	Date	Description of changes made
0	April 01, 2016	Introduction of SOP
1	July 1, 2024	Removal of unnecessary annexures; document format amended