



MAHESHWARI MINING PRIVATE LIMITED

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PART – I

GENERAL

EMPLOYMENT RULES

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COMMENCEMENT OF SERVICE

Coverage:

- These rules shall apply to all recruitments for regular jobs and promotions in the Company except those at the Board level.

Definitions:

- **‘Appointing Authority’** in relation to an employee means the authority empowered by the Articles of Association of the Company / Board / CMD or any other authority delegated the powers to make appointment to the grade in which the employee is for the time being including or the post which the employee for the time being holds.
- **‘Board’** means Board of Directors of the Maheshwari Mining Private Limited and in relation to any powers exercised by it also includes any Committee of the Board / Management or any officer of the Company to whom the Board delegates any of the powers.
- **‘Company’** means the Maheshwari Mining Private Limited.
- **‘Competent Authority’** means the Authority empowered by Article of Association / Board / CMD by any general or special rule or order, to discharge the functions or use the powers specified in the Rule of order.
- **‘Employee’** means a person (Both Male and Female) in the employment of the Company, both regular and on contract basis as well as probationers and Trainees other than casual, or workmen as defined in the Industrial Dispute Act 1947, but includes person on deputation to the Company and on deputation from the Company.
- **“On Contract”**: Which means the tenure of employment for a specified period of time and the employee is entitled to only the benefits specified in the contract of appointment subject to the prior approval of the Management. Such contract employee shall not have any right to claim permanency or regularization of his employment in the Organization after the expiry of the specified period. Unless terminated earlier by one month’s notice or pay in lieu thereof, such appointment will automatically come to an end at the expiry of the specified period and



no notice or any compensation will be payable 'Management' means the Board, the Chairman and Managing Director, or any other person delegated with the powers to act on his behalf and / or to whom any of these powers are delegated.

- **“Regular”** The regular employee is one who is employed on a regular basis, which includes a probationary employee who has satisfactorily completed probationary period to the entire satisfaction of the Management, and who has been confirmed by an order in writing.
- **“Probationer”** Probationer is an employee who is provisionally employed for a regular post, declared as probationary by the management and has not completed Six months of service on the post. Unless confirmed in writing, the employee will be deemed as a probationer after expiry of initial or extended period of probation. Provided further, that if a regular employee is employed as a probationer on any other post, he maybe at any time be reverted back to his substantive / original post during or after the probationary period, and an order in writing to this effect will be given to the employee.
- **“Temporary”** A temporary employee will include:-
 1. A person who is appointed for a limited period mentioned in the appointment letter; or
 2. A person who is appointed for work of an essentially temporary nature not intended to be carried on a regular basis: or
 3. A person employed in connection with the temporary increase in work of a regular nature ; or
 4. A person employed to work provisionally for a limited period in a post till regular arrangements for filling that post are made
- **“Casual”** Casual means the employee who is employed to fulfil unexpected requirement due to unusual or seasonal pressure of work or for work which is of an occasional or casual nature. The employee's salary / wages are fixed on a daily or hourly basis and the employee is not entitled to leave or any other benefits of any kind as available to permanent employees.
- **“Part time”** A part time employee means an employee who is employed for work for less than the normal period of working hours. Part-time employees are not ordinarily entitled to the benefits provided to full time employees. They shall be entitled to such benefits as are determined by the management.



- **“Consultant / Retainer”** Which means the person is employed for only consultancy part time or full time for the tenure of employment for a specified period of time and the employee is entitled to only the benefits specified in the contract of appointment subject to the prior approval of the Management. Such Consultant / Retainer employee shall not have any right to claim permanency or regularization of his employment in the organization after the expiry of the specified period. Unless terminated earlier by one month’s notice or pay in lieu thereof, such appointment will automatically come to an end at the expiry of the specified period and no notice or any compensation will be payable.
- **“Trainee”** All Fresh Graduate / Diploma / Graduate Engineer / Management students joining the Organization who have been appointed by the Company as “ Trainee” for a fixed tenure but shall not include any Temporary of Apprentice. The trainee shall be eligible for fixed stipend and any other benefit as declared by the employer on his employment.
- **“Apprentice”** Any person employed by the Company for a fixed period as prescribed by the provisions of the Apprentice Act. He shall be entitled to benefits as prescribed in the Apprentice Act or any other benefits as promised by the employer on engagement.
- **‘Members of the Family (Nuclear Family)’** in relation to the employee include:
 - i) The wife or husband as the case may be, of the employee, whether residing, with him / her or not but does not include a wife or husband, as the case may be, separated from the employee by a divorce or order of a competent court.
 - ii) Sons or daughters or step - sons or step - daughters of the employee and wholly dependent on him, but does not include a child or step - child who is no longer in any way dependent on the employee or of whose custody the employee has been deprived by under any law.

Joining Formalities:

**(Refer Chapter – I Policy on Joining Formalities of Employees
Policy No.- HR |PJFE - 2013-14 |001)**



- All new recruits shall fill up the following templates at the time of joining:
 - ✓ Joining Report
 - ✓ EPF and EPS's Declaration cum Nomination Form (if applicable)
 - ✓ Mediclaim Proposal Form (if applicable)
 - ✓ Gratuity Nomination Form (if applicable)
 - ✓ Application Form for Bank Account Opening
 - ✓ Any other forms specified by HR & A Dept

- The HR Department initially issues the Offer Letter and on Acceptance by the selected candidate Appointment Letters for the selected candidates duly signed by the Director and / HR Manager. The Appointment Letters should be given to the new joiners within SEVEN DAYS of Joining of the employee by the concerned HR. The candidates at the time of joining are required to submit the following documents:
 - ✓ Appointment Letter duly signed by the selected candidate.
 - ✓ Employment Application Letter.
 - ✓ Company Employment form, duly filled and signed by the employee.
 - ✓ Resume / CV.
 - ✓ Mark Sheets and Degree Certificates of educational qualifications of all semesters beginning from Higher Secondary to Post Graduation.
 - ✓ Last Pay Slip.
 - ✓ Experience Certificates.
 - ✓ Proof of Age.
 - ✓ Last Appointment Letter.
 - ✓ 2 Passport- size Photographs.
 - ✓ Pan Card.
 - ✓ Certificate of Medical Fitness.
 - ✓ All other documents as mentioned in Appointment Letter.

- The employee shall be given his / her Employee Code or Number.

Issuing of the Appointment Order:

- The HR & A Department shall issue the detailed appointment order to the candidate within **7 days** on his joining the Organization.



Induction:

- Once the candidate completes joining formalities, HR & A shall issue the employee an ID code and open a Bank Account. However, in the case of senior management personnel the place of work and other facilities as may be decided by the Management shall be made available in advance before joining.
- The responsibility of general orientation of new employees rests with the HR & A and that of job orientation with the concerned HOD.
- Induction Inputs provided to the New Entrant shall be:
 - ✓ About the Company (Company Profile)
 - ✓ Vision and Mission and Values
 - ✓ Achievements and history of the Company
 - ✓ Organization structure and introduction with Key role Executives
 - ✓ HR and other related Policies
 - ✓ Understand the Challenges that face the Company
 - ✓ New Initiatives
 - ✓ Organizational Culture
 - ✓ Induction Kit
 - ✓ Roles and Responsibilities
 - ✓ Company Telephone Directory
- HR & A shall ensure that the new employee gets familiarized with Company's profile, activities and his / her role etc.

Reimbursement of Joining Expenses:

- Reimbursement of joining expenses shall be applicable to employees **for certain grades only** as per decision of Management.
- New Entrant residing within the radius of **200 Kilometres** of the place of posting, wherein the concerned shall not be eligible for reimbursement of joining expenses.
- Transportation of Household Articles which shall be reimbursed at actual subject to a maximum of **15 days'** Basic Salary **or Rs. 25,000 /-** , whichever is lower.



- All reimbursements are subject to submission of Transporter's Bills, Delivery receipts, any other relevant receipts, and Travel Tickets.
- Transportation Bills to be raised from the Present Location (i.e., the location from where the shifting has to take place). Information in this regard to be communicated in writing to HR department at least **SEVEN DAYS** in advance from the date of transportation.
- Claim in this regard will be entertained through prescribed format.
- The concerned employee shall claim the said reimbursement within **3 (Three) MONTHS** of joining along with the required documents.
- In case an employee after getting reimbursement of Joining Expenses leaves the services of the organization before completing **12 (Twelve) months**, 100% amount reimbursed to the concerned shall be recovered from the Full and Final settlement.

Probation / Training:

- There shall be a probation period of minimum six months for all appointments and shall be mentioned in the appointment terms.
- Also all employees being promoted to higher levels shall also be on probation for the period of six months.
- **Probation Evaluation Form** shall be sent to the departments **15 DAYS BEFORE** the due date of confirmation. Evaluation form shall be sent back with necessary remarks to HR **7 DAYS BEFORE** the due date of confirmation.
- No increase in the salary or change in designation shall be proposed at the time of confirmation of services.
- Probationers shall be confirmed subject to all round performance of the probationer being adjudged satisfactory by respective HOD and Competent Authority.

Transfer / Deputation:

(Refer Chapter – XIV Transfer Policy
Policy No.- HR | TP - 2013-14 | 014)



- **Transfer:** - A transfer is a change from one department / location / Project / Group of the Organization to another, to a position of the same level / salary grade or to a position of a lower salary level / grade / JV / Subsidiary.
- Transfers between different Departments and / or Functions in the same office / project sites / Locations at the discretion of the Management shall be covered under this head. If an employee fails to join at the site as to where the employee is transferred on the date so mentioned, then the employee will be given a maximum grace period of **Seven (7) days** to join. If the employee fails to do so or if he / she does not join at all; in both of the cases, his / her case shall be treated as leaving the Company without mandatory 30 days of notice and his / her final account shall be prepared for termination. In case of leaving the Company without 30 days notice or less, the employee will have to pay for one month's salary in lieu thereof.
- Upon such transfer, the rules, regulations, terms and conditions of services which shall govern the employee, etc. that maybe applicable to the place of transfer, provided that the wages, grade, continuity of service and other conditions shall not be adversely affected by such transfer.
- For all retiral liabilities, in case of transfer to JV / Subsidiary Company, towards Gratuity, Superannuation (wherever applicable the closing balances will be transferred to the new Unit and thereafter new Unit will take care of these liabilities), the transferee unit will complete the formalities of transfer of Gratuity, Superannuation. Transfer of an employee from one department to another also requires the transfer to the new department of accumulated vacation and sick leave allowances earned in the previous department. P.F. will be transferred to new unit, where the employee is transferred. All Leaves and Advances / Loans will be balanced as on date of transfer to new Unit and thereafter, new unit will take care of all future liabilities from his / her original date of joining. The transferee unit will provide all the details to transferred unit.
- The employee shall be paid travelling allowance and other transport charges to meet the incidental expenses as per Company Policy.

Change of Address:

- All employees shall, on their appointment, notify to the management their local and permanent address. It shall be the responsibility of the employee to intimate any change of address to the management promptly. Any communication sent by the Management to the last communicated address by the employee shall be treated as communication duly served on the employee.



General Criteria for Working Hours:

- The working hours shall be based on the nature of the business, the activity areas, location of the activity, requirement of the customers, and seasonal considerations. Employees are expected to be at their work area at their scheduled starting time from Mondays to Saturdays. Work schedules may vary in sites / offices including hours of work.
- Working schedules and starting times at different sites or offices are established by the Competent Authority based on business needs. The Department Manager is responsible for communicating work schedules to subordinates.

Attendance:

(Refer Chapter – II Attendance and Punctuality Policy Policy No.- HR | A & PP - 2013-14 | 002)

- All employees are expected to come to the office as per the scheduled timings.
- In the event an employee reports to work after **1 hour** of schedule office start time, he or she will be marked for half day absent.
- In the event an employee is absent for **30 days** or more without prior notice or approval, such absence is viewed as job abandonment. The employee is then separated from employment as a voluntary quit.
- In the event of absence or tardiness from an assigned work schedule, the employee is required to report the absence to the Company. When reporting absence, the employee must telephone his or her Manager, or other designated individual as specified by management. In the event the employee cannot reach a Manager, the absence should be reported to the Human Resource Department. The employee must call within one hour of scheduled start time.
- Employees must use a Punching Machine System connected through LAN or Attendance Register (wherever applicable) to document work time and breaks from work. Absences, late arrivals, early departures, and extended breaks in the workday are accounted for on employee's time record. Failure to adhere to time reporting procedures may be grounds for



reducing salary by calculating short time and / or disciplinary procedures up to and including dismissal.

- The Personnel Department is responsible for maintaining attendance records and for advising respective managers if an employee's absence or lateness exceeds the guidelines of this Policy. HR & A department shall use this data for processing payroll. HR & A department shall prepare monthly attendance report for salary purpose considering leave with pay, without pay etc.
- For duty outside and out station duty beyond working hours or working days, must be supported by authorized permission in the prescribed format. The system for such outstation duty which may involve late / early arrival, late / early departure or non - reporting at Office / site must be observed with prescribed format of time keeping endorsement and punching systems. Otherwise, HR & A Department shall treat the employee as absent.
- In case of a swipe card or other equipment is made available for this purpose is not in working condition, the physical endorsement on attendance is to be facilitated by the concerned employee for effective maintaining of time keeping records and pay roll preparation.

Weekly Off:

- Weekly off for all staff working at Head office shall be Sunday. Whereas, at the project sites, and other locations the weekly off shall be worked out on the job requirement and shift working. However, in exceptional cases, concerned HOD may change the weekly off of an employee. HR & A Department shall monitor weekly off of all individuals.

Paid Holidays:

**(Refer Chapter – VI Leave Policy
Policy No.- HR | LP - 2013-14 | 006)**

- ✓ An employee in the service of the Company will earn leave in accordance with the provisions of Company Leave Policy except on days declared as Company Holidays.
- ✓ Total Leave granted for the year is 30 days, equivalent to two (2) and (1/2) days per month.



- ✓ An employee who remains absent from work for a continuous period of 15 days without proper sanction from his / her immediate superior or does not inform the HR Department, shall be deemed to have lost the lien on his / her job and has voluntarily abandoned the services of the Company. The employee's services will be deemed to have terminated and Company may issue such communication in writing and settle the employee's account. His / her name will be struck off from the rolls of the Company.

CHAPTER – I

POLICY ON JOINING FORMALITIES OF EMPLOYEES

HR | PJFE - 2013-14 | 001



Objective:

- To verify all required credentials of the candidate.

Policy:

- New Employee Orientation is a critical factor in helping a new person develop a productive, lasting relationship with our Organization. The HR Department ensures the completion of all the basic joining formalities like verification and submission of all relevant documents. The HR Department also engages itself in the orientation of the new employees, generally containing information about safety, the work environment, the new job description, benefits and eligibility, company culture, company history, the organization chart and other relevant information to working in the Organization.

Scope / Coverage:

- New joiners.
- HR Department.

Responsibility:

- HR Department

DOCUMENTATION AND VERIFICATION:

- Copies of testimonials and photographs shall be submitted by the new entrant on the day of joining.
- Basic information of staff will be collected and maintained by the HR Department in separate staff personal files.
- The HR Department initially issues the Offer Letter and on Acceptance by the selected candidates, Appointment Letters for the selected candidates duly signed by the Director and / HR Manager are given to them. The Appointment Letters should be given to the new joiners within SEVEN DAYS of Joining of the employee by the concerned HR.



The candidates at the time of joining are required to submit the following documents:

- ✓ Appointment Letter duly signed by the selected candidate.
 - ✓ Employment Application Letter.
 - ✓ Company Employment form, duly filled and signed by the employee.
 - ✓ Resume / CV.
 - ✓ Mark Sheets and Degree Certificates of educational qualifications of all semesters beginning from Higher Secondary to Post Graduation.
 - ✓ Last Pay Slip.
 - ✓ Experience Certificates.
 - ✓ Proof of Age.
 - ✓ Last Appointment Letter.
 - ✓ 2 Passport- size Photographs.
 - ✓ Pan Card.
 - ✓ Certificate of Medical Fitness.
 - ✓ *All other documents* as mentioned in Appointment Letter.
- Verification shall be carried out of all documents as well as Interview Assessment Form.
 - Any nonconforming issues shall be communicated immediately to the corporate HR head.
 - Relieving Letter from previous employer shall be submitted by the new entrant.
 - Welcome Note with Introduction and Photograph of new entrants shall be circulated among all staff members through Outlook.

REFERENCE CHECKS:

- Reference Checks have to be done by the HR Department to validate the information provided by the New Entrant or the prospective Candidate (s) in the process of recruitment.
- Professional Reference (s) shall be requested in the *Employment Application Form*.
- Professional Reference(s) shall be networked via telephone etc.
- No one shall disclose or share the information and feedback extracted from the previous employer and professional references to the New Entrant.
- Reference Check shall be processed only on the prescribed format.



INDUCTION:

- Induction Program shall be organized every month.
- It shall be mandatory for New Entrants to attend Induction Program.
- Induction Inputs provided to the New Entrant shall be:
 - ✓ About the Company (Company Profile)
 - ✓ Vision and Mission and Values
 - ✓ Achievements and history of the Company
 - ✓ Organization structure and introduction with Key role Executives
 - ✓ HR and other related Policies
 - ✓ Understand the Challenges that face the Company
 - ✓ New Initiatives
 - ✓ Organizational Culture
 - ✓ Roles and Responsibilities
 - ✓ Company Telephone Directory
- The Inputs during Induction shall be provided through classroom presentations, discussions and sharing of experiences that shall be followed by visit to sites and interface with cross functional team members.
- Heads of concerned Departments shall chalk out their own Departmental Induction Program.
- One Officer from HR department shall accompany the New Entrant while site Induction.

JOB DESCRIPTIONS:

- Each Employee is given knowledge on his / her job roles and responsibilities. The activities of the Organization are carried out under the guidance and supervision of the Board of Directors.

HIERARCHY AND REPORTING SYSTEM:

- The newly joined employees are given awareness on the Organization structure and hierarchy. They are informed about the Reporting System in the Organization according to their departments.



REIMBURSEMENT OF EXPENSES ON JOINING:

- Reimbursement of joining expenses shall be applicable to employees **for certain grades only** as per decision of Management.
- New Entrant residing within the radius of **200 Kilometer** of the place of posting, wherein the concerned shall not be eligible for reimbursement of joining expenses.
- Transportation of Household Articles which shall be reimbursed at actual subject to a maximum of **15 days' Basic Salary or Rs. 25,000 /-** , whichever is lower.
- All reimbursements are subject to submission of Transporter's Bills, Delivery receipts, any other relevant receipts, and Travel Tickets.
- Transportation Bills to be raised from the Present Location (i.e., the location from where the shifting has to take place). Information in this regard to be communicated in writing to HR department at least **SEVEN DAYS** in advance from the date of transportation.
- Claim in this regard will be entertained through prescribed format.
- The concerned employee shall claim the said reimbursement within **3 (Three) MONTHS** of joining along with the required documents.
- In case an employee after getting reimbursement of Joining Expenses leaves the services of the organization before completing **12 (Twelve) months**, 100% amount reimbursed to the concerned shall be recovered from the Full and Final settlement.

PROBATION PERIOD AND EMPLOYEE CONFIRMATION:

- New Entrants appointed against regular positions shall be kept on Probation for a minimum period of **SIX MONTHS**.
- Performance of Employees on Probation shall be assessed only using the prescribed Probation evaluation format.
- Probation Evaluation Form shall be sent to the departments **15 DAYS BEFORE** the due date of confirmation.
- Evaluation form shall be sent back with necessary remarks to HR **7 DAYS BEFORE** the due date of confirmation.



- Concerned HOD shall keep a track on the performance of the concerned probationer periodically.
- Probationers shall be confirmed subject to all round performance of the probationer being adjudged satisfactory by respective HOD and Competent Authority.
- There should be written communication in regard to the confirmation after **SIX MONTHS** probation period.

Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – II

ATTENDANCE AND PUNCTUALITY POLICY

HR | A & PP - 2013-14 | 002



Objective:

- It is the policy of Maheshwari Mining Private Limited (MMPL) to establish reasonable and necessary controls to ensure adequate attendance and to meet business and production needs. Because employees are vital to the work of MMPL, reliable and consistent attendance is a condition of employment.

Policy:

- Timely and regular attendance is an expectation of performance for all MMPL employees. To ensure adequate staffing, positive employee morale, and to meet expected productivity standards throughout the organization, employees will be held accountable for adhering to their workplace schedule. In the event an employee is unable to meet this expectation, he / she must obtain approval from their Head in advance of any requested schedule changes. This approval includes requests to use sick, vacation and / or personal time, as well as late arrivals to or early departures from work. Departments have discretion to evaluate extraordinary circumstances of a tardy, absence or failure to clock-in or clock-out and determine whether or not to count the incident as an occurrence.

Scope / Coverage:

- This Policy is applicable to all regular employees of the Company.

Responsibility:

- All regular employees of the Company
- HR department.
- Finance Department
- Competent Authority



Absence:

- An employee is deemed absent when he / she is unavailable for work as assigned / scheduled and such time off was not scheduled / approved in advance as required by department notification procedure.

Tardy:

- An employee is deemed to be tardy when he / she:
 - ✓ Arrives to work past his / her scheduled start time and hence, fails to report for work at the assigned / scheduled work time. In these instances, managers may replace the tardy employee for the full shift.
 - ✓ Leaves work prior to the end of assigned / scheduled work time without prior approval of the concerned authority.
 - ✓ Takes an extended meal or break period without approval.

Policy- Clause Guidelines:

- Daily Attendance will be marked through the Electronic system or Emails only. No Manual system shall be used for recording of attendance.
- Employees are expected to be at their work area at their scheduled starting time from Mondays to Saturdays. Work schedules may vary in sites / offices including hours of work.
- Working schedules and starting times at different sites or offices are established by the Competent Authority based on business needs. The Department Manager is responsible for communicating work schedules to subordinates.
- Employees are expected to be at their work station in a fit condition and ready to work at starting time. Work activity should commence at starting times and continue until the normal designated stopping times for breaks, lunch, or the end of work.



- In the event of absence or tardiness from an assigned work schedule, the employee is required to report the absence to the Company. When reporting absence, the employee must send an email to the HR Department or telephone his or her Manager or Reporting Authority and HR Department, or other designated individual as specified by management (in case email is not possible). In the event the employee cannot reach a Manager, the absence should be reported to the Human Resource Department. The employee must call within one hour of scheduled start time.
- The Company reserves the right to require an employee to submit a physician's certificate in the event of repeated absences for the medical reasons or in the event of medical absences exceeding three days.
- The Company recognizes that an occasional absence may occur, as defined by Company policies for holidays, vacations, jury service, funerals, family and medical leave, personal leave, military leave, voting, etc. Time off from work is unpaid unless the Company has established a specific policy providing pay for time off.
- An employee's absence will be considered excused if covered by Policy and the employee provides proper and timely notification deemed satisfactory to the Supervisor or Manager. Timely notification means calling in on the day of absence or providing advance notice for absences which can be anticipated.
- An employee's absence will be deemed unexcused when an employee fails to call in, gives a late notice, fails to give advance notice for an absence which could be anticipated, exceeds the number of length of absences as defined by policy or authorized in advance by the Manager. Unexcused absentees are subject to corrective discipline or termination or discharge on discretion of Management.
- In the event an employee is absent for **8 days** or more without prior notice or approval, such absence is viewed as Service Break. The employee may be then separated from employment on decision of Management.
- In the event an employee reports to work after **15 minutes** of schedule office start time, he or she will be marked for half day absent.



- Excessive tardiness shall be subjected to corrective discipline or termination. Excessive tardiness is subject to corrective discipline.
- An employee's request to leave work early may be considered by the Manager. Approval of such absences should be based upon the urgency of the reason for absence and department needs. As a general guide, early leaving / late coming should not exceed 5 instances per month.
- The Personnel Department is responsible for maintaining attendance records and for advising respective managers if an employee's absence or lateness exceeds the guidelines of this Policy.
- Provision should be made that the normal disciplinary proceedings will be followed for absenteeism from the workplace at all times.

Attendance Record:

- Employees must use a Punching Machine System connected through LAN or Emails (wherever applicable) to document work time and breaks from work. Absences, late arrivals, early departures, and extended breaks in the workday are accounted for on employee's time record. Failure to adhere to time reporting procedures may be grounds for **reducing salary** by calculating short time and / or disciplinary procedures up to and including dismissal.
- The attendance record must be reviewed by the HR Department on at least a monthly basis. The review should be evidenced in the register by signature.
- The Head of Department must make sure that he / she possesses the means for making an accurate review (e.g. retain copies of staff leave application forms).



Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – III

INFORMATION TECHNOLOGY AND EMAIL USAGE POLICY

HR | IT & EUP - 2013-14 | 003



Objective:

- To overcome any potential safety hazards, possible breaches of security and confidentiality of proprietary information when using information technological tools.
- The purpose of this policy is to ensure the proper use of email system and make users aware of what Maheshwari Mining Private Limited (MMPL) deems as acceptable and unacceptable use of its email system. The Organization reserves the right to amend this policy at its discretion. In case of amendments, users will be informed appropriately.

Policy:

- The policy shall include usage of all PCs, laptops, shared network services, proprietary software and all related technology that can access or be accessed through them. In addition to the above, all other devices or software shall also be included.
- The below- mentioned shall be used and Policy's DO's and DON'Ts be followed by those for which the same is applicable as per their eligibility.

Scope / Coverage:

- This policy is applicable to all employees of the Company.

Responsibility:

- Clarifications on the policy – IT Department
- Each Individual

Legal risks:

Email is a business communication tool and users are obliged to use this tool in a responsible, effective and lawful manner. Although, by its nature, email seems to be less formal than other written communication, the same laws apply. Therefore, it is important that users are aware of the legal risks of e-mail:



- If you send emails with any libelous, defamatory, offensive, racist or obscene remarks, you and MMPL can be held liable.
- If you forward emails with any libelous, defamatory, offensive, racist or obscene remarks, you and MMPL can be held liable.
- If you unlawfully forward confidential information, you and MMPL can be held liable.
- If you unlawfully forward or copy messages without permission, you and MMPL can be held liable for copyright infringement.
- If you intentionally send an attachment that contains a virus, you and MMPL can be held liable.

Policy- Clause Guidelines:

DO'S:

- All eligible New Entrants shall be given Workstations / Laptops equipped with the necessary software / hardware.
- Additional software / hardware can be requested and shall be allocated once the relevant authority / MD approves the 'need'.
- All information shall be shared on a need-to-know basis. Each user shall be given necessary (and restricted) access to the computers/ shared network. It shall be mandatory to follow the access limits strictly.
- Employees shall be held responsible for inappropriate use of information, which they have access to. All passwords must be kept confidential and computers shall be locked / logged out from while away from them.
- The company shall have the right to monitor any and all of the aspects of its technology.
- Employees shall be required to read and follow the Technology Updates sent from time to time. These shall include tips for effective use of technology, information security, new technology and upgrades.
- All personal greetings, displays or messages on any technology shall be formal and professional.



- ☑ Separating employees who have been assigned PCs or laptops must return them prior to leaving the Organization.

DONT'S:

- ☑ Employees are expected not to use company's technology for personal financial gain or profit.
- ☑ Carrying information in printed or soft copy shall be prohibited without prior sanction from the manager. Any employee shall copy no information illegally.
- ☑ Employees shall not install any software on the computers. All software required for business purposes shall be installed and upgraded by the Information Technology Department.
- ☑ It is strictly prohibited to send or forward emails containing libelous, defamatory, offensive, racist or obscene remarks. If you receive an e-mail of this nature, you must promptly notify your supervisor.
- ☑ There shall be no toleration for the use of technology for any actions that are harassing or discriminatory.
- ☑ Do not send unsolicited email messages.
- ☑ Do not send email messages using another person's email account.
- ☑ Using technology for entertainment shall be prohibited.
- ☑ Forge or attempt to forge email messages, or disguise or attempt to disguise one's identity when sending mail.
- ☑ Do not copy a message or attachment belonging to another user without permission of the originator.
- ☑ Technology is linked hence inappropriate use of one technology can cause unintended consequences in another. An employee shall always consider the availability of resources for others as well as the overall operational efficiency of the technology system.
- ☑ A breach of any of the above guidelines or not following the policy guidelines shall lead to strict disciplinary action against the concerned employee.



- Do not maintain any data / accounts / information related to any outsider person / Company.

Usage of Internet:

DO'S:

- Certain employees may be provided with access to the Internet to assist them in performing their assigned tasks.
- Use of the Internet shall be tempered with common sense and good judgment.
- The company advises discretion in the material viewed or downloaded by users from the Internet.
- Use Company's mail Id only for mail transaction.

DONT'S:

- Sending mass mails or chain letters, playing games, engaging in online chat groups, social networking, printing multiple copies of documents, or otherwise creating unnecessary network traffic etc. is not permitted.
- Since audio, video and picture files require significant storage space; files of this or any other sort shall not be downloaded unless they are business related.
- Employees shall not have an expectation of privacy in anything they create, store, send, or receive on the computer system.
- Employees shall not play songs / music / videos / films either in speaker or using earphone during office hours.

Usage of Outlook:

- All messages distributed via the organization's outlook system, shall be the property of the company.



- Emails shall be monitored without prior notification if the company finds it necessary. If there is evidence that the employee is not adhering to the guidelines set out in this policy, the company reserves the right to take disciplinary action.
- Users shall take care in drafting an email as they would for any other communication.
- Confidential information should be encrypted prior to being sent via email.

Best Practices for Email Usage:

MMPL considers email as an important means of communication and recognizes the importance of proper email content and speedy replies in conveying a professional image and delivering good customer service. It is always suggestive to keep your supervisor and senior management Cc's on every email being sent to Clients, Management of MMPL, Vendors and Suppliers.

Therefore MMPL wishes users to adhere to the following guidelines:

Writing Emails:

- Write well-structured emails and use short, descriptive subjects.
- MMPL's email style is informal. This means that sentences can be short and to the point. You can start your e-mail with 'Hi', or 'Dear', and the name of the person. Messages can be ended with 'Best Regards' or 'Warm Regards'. The use of Internet abbreviations and characters such as smileys however, is not encouraged.
- Signatures must include your name, job title and Company Logo and name. A disclaimer will be added underneath your signature (see Disclaimer).
- Use the spell checker before you send out an email.
- Do not send unnecessary attachments. Compress attachments larger than 500Kb before sending them.
- Do not write emails in capitals.
- Do not use cc: or bcc: fields unless the cc: or bcc: recipient is aware that you will be copying a mail to him/her and knows what action, if any, to take.



- If you forward mails, state clearly what action you expect the recipient to take.
- Only send emails of which the content could be displayed on a public notice board. If they cannot be displayed publicly in their current state, consider rephrasing the email, using other means of communication, or protecting information by using a password (see confidential).
- Only mark emails as important if they really are important.

Replying to Emails:

- Emails should be answered within at least 8 working hours, but users must endeavor to answer priority emails within 4 hours.
- Priority emails are emails from existing customers and business partners.

Newsgroups:

- Users need to request permission from their supervisor before subscribing to a newsletter or news group.

Maintenance:

- Delete any email messages that you do not need to have a copy of, and set your email client to automatically empty your 'deleted items' on closing.

E-mail Signature:

What should be included in an e-mail signature?

- E-mail signatures should include your Name, Department, Name and address of the Company, Telephone and Fax numbers, your official mobile number and corporate mailing address, Company Web site address and Company Tag line picture as per the format given by the IT Department. Below mentioned is an example of the e-mail signature to be used by the employees:



Your name

Your Dept/ Desig. | **Maheshwari Mining Private Limited**

21 CLM Lane, Raniganj - 713347, District Burdwan,
(West Bengal) India

Telephone +91 341 2445446, 2445210 | Facsimile

+91 341 2446477

Mobile +91 _____ | Email:

_____@maheshwaree.com

Website: www.maheshwaree.com

People

With Experience

Disclaimer:

The following disclaimer will be added to each outgoing email:

“The information contained in this e-mail, including any attachments to it, is confidential and intended only for the person(s) to whom it is addressed. Any examination, distribution, disclosure, printing, or copying of this information, or reliance upon this information by any person other than the intended recipient(s) is strictly prohibited. If this e-mail has been misdirected and you are not the intended recipient, please notify the sender immediately and delete this e-mail from your system. The views and opinions contained in this transmission represent those of the author and do not necessarily reflect those of Maheshwari Mining Pvt. Ltd. Maheshwari Mining Pvt. Ltd. may monitor incoming and outgoing e-mails. By replying to this message, you consent to this monitoring. This e-mail has been scanned by antivirus prior to transmission. However, recipients are advised to apply their own antivirus detection measures to this e-mail and any attachments upon receipt. Maheshwari Mining Pvt. Ltd. does not accept liability for any damage or losses arising as a result of receiving this e-mail”.

Usage of Software:

DO’S:

- The company shall own all software and makes it available to employee according to need, under the terms of licensing agreements between the company and individual software vendors.

People

With Experience

www.maheshwaree.com

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- If an employee leaves the company, any company-owned software in his or her possession must be returned.
- To use resources wisely, employees are expected to learn what existing software can do.
- The company reserves the right to revoke access to software applications or remove, delete or destroy any non approved software on systems at any time.
- Only IT Departments shall add / load/delete / edit / execute any new required software.

DONT'S:

- Employees shall not use CD-ROM to alter the existing software. Violation of the same shall be viewed as an offence and will be liable for disciplinary action.

Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – IV

EMPLOYEE ID CARD POLICY

HR | E IDCP - 2013-14 | 004



Objective:

- This policy outlines Maheshwari Mining Private Limited's (MMPL) Management Principles that apply to the eligibility for and the issuing of Staff Identification (ID) Card.
- A staff card will assist the positive identification of staff for use of the Organization's services and operation of business and provide a greater level of security for the Organization and the individual.
- To describe the process for issuing and collecting identification cards for use in the Organization.

Policy:

- The issuing and wearing of an ID card identifies that the wearer has official and regular business in MMPL. The absence of an ID card will indicate that the person is a visitor. It is required for all staff in the Organization. The ID card is the property of the Organization, must be presented upon the request of an appropriate Company Official, and may be revoked at any time by the Organization. Failure to adhere to this Policy / Procedure may result in administrative action.

Scope / Coverage:

- This Policy is applicable to current employees of MMPL.
- Employees must hold either a continuing or fixed-term appointment on a full-time or fractional time basis.
- New staff will obtain a Company ID card after completing the Employment Verification in the Office of Human Resources.

Responsibility:

- The Division of Human Resources is responsible for identifying eligibility for the issuing of Staff ID Cards.



- The Division of Human Resources is responsible for providing accurate information to the Division of IT for the purpose of issuing Staff ID Cards.
- Each Individual shall be responsible to ensure the proper use and security of his / her Staff ID Card.

Policy- Clause Guidelines:

- All employees will be issued a Company Identification Card, with photo, and other details of the Employee.
- All employees will wear their ID card at all times in a visible location while in the Office.
- ID cards are issued for the exclusive use of the named employee and are not to be loaned to anyone. ID cards remain the property of the Organization and must be surrendered upon demand by MMPL, or upon retirement or termination of employment.
- Employees must report damaged, lost or stolen ID cards to the HR department / Head of Department / Supervisor as soon as possible. MMPL accepts no responsibility for actions or consequences which take place as a result of misuse of the card, whether such action is by the nominated cardholder or other persons. The new ID card will be issued to the individual once the damaged ID card has been surrendered by the employee.
- A validity date is printed on the front of each ID card. Validity dates vary according to the type of appointment. It is the responsibility of each cardholder to renew their card upon expiration by presenting it to the Office of Human Resources in the Company. There is no renewal fee for this service.
- ID cards remain the property of the Organization and must be surrendered upon demand by MMPL, or upon retirement or termination of employment.



STAFF ID CARD:

Data recorded on the card

Each staff card issued will bear the following information:

- ✓ The Company name, logo and Company Address.
- ✓ The employee's full name, his / her Department and Designation assigned.
- ✓ The employee's Identification Number / Code.
- ✓ The employee's location of duty.
- ✓ Company's phone number and address in case of sites.
- ✓ The employee's blood group.
- ✓ Signature of the employee.
- ✓ Validity Date (mm/yy).
- ✓ A digitized color image of the employee.
- ✓ Disclaimer mentioning the contact detail where the card has to be returned in case of loss of card. This has to be mentioned on the back side of the card.
- ✓ Signature of the Competent Authority / Director.

Digitized Image

- The digitized image is an essential element of the MMPL Staff ID Card. The image is captured via a passport size photograph provided by the employee or recorded directly into the ID card database which is secure from other electronic systems.

Validity of the card

- ✓ A Staff ID Card is not valid unless it bears the signature of the holder.
- ✓ A Staff ID Card will become invalid upon termination or resignation or retirement from the Company or when it reaches its designated expiry date.

PROCEDURE FOR AVAILING ID CARD:

- Staff shall supply a passport-sized photograph of themselves.
- The details relating to employee's personal details and employment should be completely provided by the employee to the HR Office.



- Employee details and photographs that have been forwarded to the Division of Human Resources may be sent directly to the IT Department for production of the Staff ID Card when all of the required details have been completed.
- When the card has been produced, the HR Division will forward the Staff ID Card to the employees at the specified location

STORAGE, USE AND DISCLOSURE OF INFORMATION:

- All information recorded on the Staff ID Card will be held on secure database system. Access will only be available to staff authorized by the Competent Authority.
- Access to stored digitized images of employees will be restricted to those persons granted access to personal files by the Competent Authority.
- In the event that a copy of the digitized image is requested for any purpose other than the reproduction of an identification card for the employee, the written consent of the employee will be required prior to the details being released.

STAFF ID CARD ON RETIREMENT OR TERMINATION OR RESIGNATION:

- On termination or resignation of a MMPL employee, the Staff ID Card should be returned to the Division of Human Resources.
- Departments should collect and return ID cards to the Office of Human Resources when a staff member terminates his / her relationship with the Organization.

Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – V

SOCIAL SECURITY SCHEMES

HR | SSS - 2013-14 | 005

SOCIAL SECURITY SCHEMES

Gratuity:

- As per the Gratuity Act, 1972 an employee who completes 5 years or more continuous service or either resigns or retires or services terminated or dismissed or discharged are liable to be paid Gratuity at the rate of 15 days Basic salary for each completed year of service to a maximum of Rs. 3, 50,000.00 or 20 months' salary whichever is less. For the purpose of gratuity one month consists of 30 days. The payment towards Gratuity is payable to all the employees.

Nomination: -

- Each employee is required to nominate one or more member of his family who will receive the gratuity in the event of the death of the employee (Section 6). In the absence of nomination, it will be paid to the legal heirs of the employee (Second Provision to Section 4(2)).

Bonus:

Where an establishment consists of different departments or undertakings or has branches, whether situated in the same place or in different places, all such departments or undertakings or branches shall be treated as parts of the same establishment for the purpose of computation of bonus under Payment of Bonus Act 1965.

Eligibility for Bonus- Every employee shall be entitled to be paid by his employer in an accounting year, bonus, in accordance with the provisions of this Act, provided he has worked in the establishment for not less than thirty working days in that accounting year.

Payment of Bonus as per Bonus Act 1965 –

- 1) Bonus is calculated on Basic salary + D.A. on a maximum monthly salary of Rs. 3,500.

- 2) If anyone is drawing salary (Basic + D.A.) starting from Rs. 3,500 upto Rs. 10,000, Bonus will be calculated on Rs. 3,500 only. The rate of bonus will be minimum 8.33 percent of Rs. 3,500. The maximum rate will be 20 percent of Rs. 3,500. Any company has to pay minimum bonus whereas paying higher bonus is solely on the decision of management.
- 3) For anyone drawing salary (Basic and D.A.) more than Rs. 10,000, no bonus is applicable. The bonus to such employees may be provided on sole discretion of Management. If bonus is provided in such case, the minimum rate will be 8.33 percent of Rs. 3,500 and maximum rate will be 20 percent of Rs. 3,500.

Formula as per Payment of Bonus Act 1965- Bonus=Basic Salary+DA*12*8.33% minimum or 20% max

For Example if an employee's Basic salary is 5000 and DA 1000, then the bonus will be :-

Minimum Bonus = Rs. 3500 *12*8.33/100= Rs. 42000*8.33/100 = Rs. 3500 Annual Bonus

Maximum Bonus = Rs. 3500 *12*20 /100= Rs. 42000* 20 /100 = Rs. 8400 Annual Bonus

On basis of Bonus Act and as per present situation of the Company, the Management is lenient in providing Bonus to its employees. Hence , the following formula has been devised and bonus is payable as per the same.

Bonus Slab(2013-14)	
Less than Rs-5000	100%
Rs-5001 to Rs-7000	90%
Rs-7001 to Rs-10000	80%
Rs-10001 to Rs-13000	70%
Above Rs-13001	50%
Maximum Bonus	Rs-10000



CEILING LIMIT – The maximum ceiling limit is Rs. 10,000. (As per Bonus Act Ceiling Limit is Rs. 8400/- only)

Medical Reimbursement:

The company shall take a Medical Reimbursement Policy for selected employees on discretion of Management and their family (spouse and maximum of two children only and up to the age of 25).

- Cosmetic or aesthetic treatment, plastic surgery not covered unless necessitated due to an accident or as part of illness.
- Cost of spectacles and contact lenses, hearing aids are not covered.
- Dental treatment or surgery of any kind is not covered unless necessitated due to an accident.
- Convalescence general debility “Run-down” condition or rest case, conventional external disease or defects or anomalies sterility, venereal diseases, internal self injury or intoxicating drugs/ alcohol are not covered.
- Expenses incurred on vitamins or tonics shall not be covered.
- Treatment arising from or traceable to pregnancy, child birth including caesarean is not payable.
- Voluntary medical termination of pregnancy during first 12 weeks from the date of conception is not payable.
- Naturopathy treatment is not covered.
- Notice of the claim should be given within 7 days and all claim paper should be submitted within 30 days of discharge from hospital.

Claim procedure: -

- i. Claim form duly fill-up by claimant.
- ii. All prescriptions with chemist bills.
- iii. All diagnosis reports, Bills & prescriptions.
- iv. Doctor’s certificate containing following details
 - ✓ Duration of illness



- ✓ Duration of Hospitalisation
 - ✓ Fully cure certificate
 - ✓ Name of disease
- v. Doctor's original bill with full details

Note: The Company shall not make any payments towards medical treatment unless the employee opts for some amount of his CTC towards medical reimbursement.

Group Personal Accident Policy:

Eligibility: -

- **Selected Employees as per discretion of Management** but does not include employees who are covered under Employees State Insurance Act, 1948 and Apprentices Act, 1961 and Contractors' Personnel.

Scope: -

- The risks covered under the scheme are Death / Loss of limbs or sight / Permanent total / partial disability.

Extent of coverage: -

- All eligible employees **as per discretion of Management** shall be covered under Individual Accident Policies for the sum equivalent to 100 months of basic salary of the employee with a minimum of **Rs. 1 (One) Lakh**. The policy shall cover the employee 24 hours a day, 365 days a year, anywhere in the world. The policy shall be such that irrespective whether an accident occurs during the course of employment or not, the compensation, as defined in the policy, shall be payable by the insurance company to the claimant through the concerned Company.

However, the following are the illustrative list of exceptions:

- Intentional Self –Injury, Suicide or Attempted Suicide.



- Policy shall not cover alcoholics and no compensation be payable if it is proved that the accident or the death as the case may be, occurred whilst the employee was in an inebriated condition.
- Policy shall also not cover the persons undergoing treatment for epilepsy.
- Policy shall also not cover death, injury or disablement arising out of pregnancy.
- War, aviation other than a passenger, motor rallies, terrorism or anything similar.

Benefits: -

- A onetime compensation, equivalent to the total sum insured in case of death due to accidental cause.
- A onetime compensation in case of bodily loss as defined in the following clauses.
- Weekly compensation in case of disablement requiring the employee to stay away from work on leave without pay. In case the employee is allowed to be on leave with pay by the employer, the amount so claimed under weekly benefits shall be to the account of employer only and employee shall not be allowed to avail both the benefits.
- Scale of benefits would be as per the table provided by the insurance company.
- In case of partial loss of one of these parts or sensory organs, proportionate sum would be payable. However, any compensation payable shall be in accordance with policy conditions only.

Claim Procedure: -

Activity	Time Duration
<p>The injured or the family member of the injured or deceased in case of death shall intimate the HR & A Dept., in case the accident occurs outside work premises and while not on the job:</p> <ul style="list-style-type: none"> ➤ Details of Injured / Deceased ➤ Nature of Injury ➤ Details of Hospital where treatment is carried with details of attending doctor, date of admission etc 	<p>As soon as possible and but in any case within 12 Working days of the accident</p>
<p>The HR & A shall pass on the information to the insurance company in writing</p>	<p>Within 24 hours of receipt of information</p>
<p>After completion of treatment, the injured fills up the claim form of the insurance company under the advice of HR & A Department and hands over the same to HR & A for onward submission to the insurance company</p>	<p>Within 5 days from the date of completion of medical treatment</p>
<p>Insurance Company processes the claim and compensation shall be sent to the concerned Company directly by way of cheque or demand draft</p>	<p>Normally within 30 days from the date of receipt of claim from the respective Company</p>
<p>HR & A shall forward the cheque / DD to the employee concerned / family member of the deceased concerned as per the nomination available. If no nomination is available, it would be sent to the legal heirs. In case of any dispute, such cases shall be dealt with on case to case basis duly following the legal issues. In case of weekly benefits, if the employee was allowed to be on leave with pay during treatment period, no amount would be payable to the employee concerned.</p>	<p>Within 5 days from the date of receipt of cheque, if no dispute exists w.r.t. the beneficiary(s)</p>

HR & A shall ensure that a nomination form (duly filled-in & signed) is obtained from the employee and the same shall be informed to the insurance company and kept in the company's record also.

Salary Advance and Soft Loan:

- The advance against salary shall be paid to an employee on application as per the format (**Annexure- 14A**), which is to be recommended by their Department Head.



- The advance is payable only after it is sanctioned by the Director.
- The advance is payable and to be restricted up to 80% of eligible wages/salary accrued for the current month till the date of application, which is upon discretion of Management.
- All advances against salary shall be recovered from the salary as mentioned in the sanctioned advance approved. The HR & A Department, who is responsible for making salaries, shall be responsible for recovery of total advance amount against salaries based on confirmation of Advance disbursement received from Accounts Department.
- As a welfare measure, Loan to staff may be recommended only in case of exigencies. The employees may submit a loan application with reasons and supporting documents to their departmental head which may be forwarded by the department head to HR & A Department for recommending the loan to the Director for approval.
 - i. The application for loan shall be made in the prescribed format in NJ stamp paper of Rs.10/- .
 - ii. The employee who has completed **one year of employment** and whose services are confirmed shall only be eligible to apply for the loan.
 - iii. Amount of loan and its recovery period with / without interest applicability on loan amount in sole discretion of management. However, the loan will be re-payable at 15 % interest rate on diminishing basis.
 - iv. No repeat loan on any ground to be granted before completion of previous loan.
 - v. The HR & A Department, who is responsible for making salaries, shall be responsible for recovery of the loan instalments from salaries based on loan disbursement details received from Accounts Department.
 - vi. Sanction of loan shall be at the sole discretion of the Management.
 - vii. The loan scheme can at any time, at the sole discretion of the management be modified / amended / altered / withdrawn / stopped as felt necessary and fit.

Canteen / Pantry Facility:

- 1) Tea shall be served to all company employees twice a day.
- 2) No food or Tea shall be served to Contract Employees.

Transport facility at Project Sites:

- **Transportation facility may be provided by the company to employees at site from the Bachelor's Accommodation / Guest house. This will depend upon the discretion of the Management.** The facility shall be as below:

Up to Deputy Manager	-----	Bus Facility
Manager to AGM	-----	Shared Vehicle
GM	-----	Alto / Indica / Bolero or equivalent

Note: As per the job requirement if an employee below GM / VP level requires to be provided with an independent vehicle he shall be provided with one with a special approval of the competent authority.

Transport facility at HO:

- No specific arrangements are proposed for other employees as cost of conveyance is covered and paid to the employee under the CTC concept.

Supply of Personal Protective Equipments (PPEs):

- Personal Protective Equipments shall be provided to employees working at the project sites at company's cost.
- The Project In-charge / Head shall record and maintain all such equipment.
- Personal Protective Equipments (PPE's) shall be issued to employees as per the justifiable Work and Statuary requirements of the concerned location / Site.

Bachelor Guest House at Site:

- All bachelors including married personnel who are not staying with their families shall be provided free accommodation at all project sites.
- Project Heads / Site In-charge shall make adequate arrangements, such as leasing out houses, etc., depending upon the number of employees requiring the facility.

- The accommodation shall be located as close as possible to the work site.
- The accommodation shall be twin sharing basis up to the rank of Senior Manager and single room accommodation above this grade.
- The rent, electricity, water and other charges such as maintenance shall be paid by the company.
- Each person shall be provided with a single bed, mattress, bed sheet, pillow and blanket only.
- Personnel have to make their own arrangement for other requirements including necessities such as toiletries (paste, soap, towels) etc.
- Depending upon the number of inmates at a particular location adequate number of attendants shall be employed with cost to the company.
- Each location may have a common facility with a TV, Water Filter, Fridge, subject to approval of the competent authority.
- Adequate number of cooks shall be employed with cost to the company.
- The expenses of fuel for cooking (Gas) shall be borne by the company.
- In case the company does not provide food, the company shall subsidize the cost of food per person per month. This subsidy shall not be applicable to every employee. Excess amount shall be borne by the employee.
- Fixing of menu, quality, and other aspects such as collection of excess amount beyond the subsidy amount shall be upon the decision of Management.
- Nothing shall be served in the rooms.
- No visitors shall be permitted to stay at the guest houses / accommodation without the prior permission of the Project Head and the Management.
- The project head / site in-charge depending upon the site conditions shall ensure that food reaches the employees.
- The company shall not be responsible for loss of valuables, cash, etc. and the inmates have to make arrangements for the same.



Note: Bachelor guest house at HO shall be made available with all above mentioned facility upon discretion of Management.

Guest House / Transit House:

- The guest house / transit house flats are primarily meant for the use of by the Employees of Group Companies on official tours only.
- Employees of the Company while on official tour and staying in guest house/transit house shall not make any payment for their stay at present.
- The period of stay at guest house is purely based on the requirement.
- New employees at the time of joining – period of stay shall be restricted to 10 days maximum.



Annexure - 14

Medical reimbursement form

1. Name of the Employee : _____
2. Employee Code No. : _____ Cost Center No.: _____
3. Designation : _____
4. Department : _____

SN	Description	Self	Total
1	Hospitalization		
2	Consultation Fees		
3	Medicine		
4	Pathology		
	Total		

Note:

1. Bills should be numbered and from chemist shop with all details of ST/CST number.
2. Only original bills shall be considered.
3. Bills should be legible if not legible please write the name of the medicine in English in bold letters.

Claimants Signature

Checked By
(HR & A Dept.)

Authorized By
(Accounts Department)



Annexure 14 - A

APPLICATION FOR LOAN / ADVANCE

To,
The Director
Maheshwari Mining Private Limited
21,C.L.M.Lane
P.O.Raniganj
Dist.Burdwan (WB)

Date-

Re: Demand Loan

Dear Sir,

I, _____, S/o / D/o _____ Aged _____ Yrs. by faith Hindu, resident at _____, Post- _____, and Dist- _____, am an employee of your Company and working as since last _____ years.

Sir, I request you to kindly sanction a loan for Rs. _____ /- (Rupees in words) to me for my Purpose. I further accept to pay an interest @ 15% on the loan amount back to back. The loan amount may be deducted with interest from my salary by monthly Rs. _____ /- equal instalments w.e.f (Month's) salary.

I declare that the above statement made by me is true and correct and Company may take legal action against me for my default in refund of loan payment.

Thanking you,

Witness :

Yours faithfully,

(.....)



.....For office use only.....

Date of Loan Sanction :.....Loan A/c. No.....

Loan Sanction by :

Repayment of Schedule			
Date	Opening Balance	Instalment amount	Closing Balance

Sanctioned Authority

Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – VI

LEAVE POLICY

HR | LP - 2013-14 | 006



Objective :

- ✓ To provide leave facility to employees for vacation and exigencies due to domestic and ailment in their day to day life.
- ✓ To create a healthy work life balance and help employees meet their personal needs.

Policy :

- This policy is to explain the leave entitlement and procedure for availing leave.

Eligibility :

- ✓ All employees whose employment in the Company is regular in nature, at various locations on deputation or permanent placement.

Entitlement :

- ✓ The yearly leave entitlement in respect of all STAFFS will be **30 days in a year (EL, CL and ML)** and leave will be on the basis of financial year. **This does not include Sundays.**

Responsibility :

- ✓ The Competent Authority.
- ✓ The concerned HODs.
- ✓ The HR Department.
- ✓ All regular employees of the Organization.



Policy- Clause Guidelines :

- ✓ An employee in the service of the Company will earn leave in accordance with the provisions of this Policy except on days declared as Company Holidays.
- ✓ All leave entitlements coincide with and are determined for a financial year i.e. April to March. Employees can avail this leave entitlement throughout the year till the end of financial year i.e. 31st March, 2014.

There are three kinds of leaves :

1. **CL (Casual Leave)** - An Employee can avail total Casual Leave of **12 days in a year**. The Casual Leave is permitted for **a continuous period of 1 and 1/2 days or a maximum of 2 days**. If the Casual Leave extends for a continuous period of more than 2 days at a stretch, the extra leaves (after 2 days) shall be considered as EL (Earned Leave). The CL shall not be carried forward to next financial year.
2. **EL (Earned Leave)** – An Employee can avail total Earned Leave of **12 days in a year**. The Earned Leave shall be carried forward to next financial year up to a maximum period of **7 days**.
3. **ML (Medical Leave)** – An Employee can avail total Medical Leave of **6 days in a year**. The employee will have to submit Medical Certificate when he avails ML. The ML shall not be carried forward to next financial year.

Note -

- There is **NO LEAVE ENCASHMENT for any employee**.
- An employee is permitted to maximum of **8 days** leave at a stretch by the Authorized person. If he applies for more than 8 days leave, then he will have to take written approval from the **Higher Authority**.
- **Leave Application Form** has to be filled up by the employees applying for Leave as per the prescribed format (form attached) and sent to the H.O. Leaves without written approval shall be treated as Unauthorized Leave. No verbal approvals shall be taken into account.



- **Regarding Sunday** - Sunday list should be maintained separately for sites with Sunday work and progress.
- **Leave rules at Mining sites** differ from the above entitlement according to the norms of the Client.
 - If the employee does not register the attendance nor gets the leave sanctioned for a particular leave period, his / her salary during the period will be deducted. Additionally, disciplinary action may be taken.
 - An employee who remains absent from work for a continuous period of **8 days** without proper sanction from his / her immediate superior or does not inform the HR Department, shall be deemed to have lost the lien on his / her job and has voluntarily abandoned the services of the Company. The employee's services will be deemed to have terminated and Company may issue such communication in writing and settle the employee's account. His / her name will be struck off from the rolls of the Company.
 - Leave application should be submitted to the HR Department mentioning the reason for leave either in hard copy or through mail.

Maternity Leave :

- The Central Government passed the Maternity Benefit Act in 1961 which extends to the whole of India and applies to every establishment belonging to the Government and to every establishment which may be industrial, commercial, agricultural or otherwise. The provisions of the Act shall be applicable for the employees of MMPL.

Maternity Benefit Act, 1961 Section 4: The Act provides 12 weeks as the maximum period for which any working woman shall be entitled to maternity benefit. She can avail this benefit as 6 weeks up to and including the day of her delivery and 6 weeks immediately following the day of her delivery.

Section 9: In case of miscarriage or medical termination of pregnancy, a female employee can avail maximum 6 weeks leave with average pay from the date of miscarriage or termination of pregnancy.

Section 10: Also additional leave with pay for up to 1 month can be availed on production of proof, revealing illness due to pregnancy, delivery, miscarriage, or premature birth.



Section 13: Where a female employee needs to undergo tubectomy operation she can avail leave with wages at the rate of maternity benefit for up to two weeks immediately following the day of her operation.

Leave Without Pay (LWP) :

- The employee will be considered on LWP if he / she does not have any leave (Any Type) balance or if he / she makes absence without any information.

Compensatory offs :

- An employee who has worked on a holiday is eligible for a compensatory off for reimbursement only if Management so decides but it will require appropriate justification for such extra work and efforts.

Special Leave :

- In the event of curfew being imposed by the Government resulting in the temporary stoppage of work and also in the event the employee not being able to attend work due to curfew, such absence will be adjusted against his / her leave entitlement.

Cancellation of Leave:

- The management will be at all times endeavour to grant all reasonable requests for leave. However, no leave can be claimed as a matter of right. The sanctioning authority shall have the discretion to revise, curtail or revoke leave at any time depending on the exigencies of service.
- In case any employee wants to cancel his / her leave and join for the duties before the due date, he / she can do so by a written request to HR Department for further action.



Encashment of the Leave :

- Encashment of leave is not allowed. Leave must be consumed by the end of financial year. In case Management so wishes, it may be encashed.

Carry Over Facility :

- Earned Leave may only be carried forward depending on case to case for the next financial year subject to approval and sole discretion of Management. If the earned leaves are not availed after completion of the financial year, these leaves will automatically lapse or it may be encashed only on decision of Management. The Earned Leave shall be carried forward to next financial year up to a maximum period of **7 days**.

Employees leaving the Company :

- When an employee resigns from the Company on his / her own accord and is required to give notice to the Company as per the terms of his / her appointment, the employee may be permitted at the sole discretion of the management to adjust his / her leave entitlement applicable to him / her at the time of his / her leaving the services of the Company.

Procedural Norms:

- Leaves availed by an employee need to be informed and approved by the Manager or immediate supervisor. The information of applying for a leave must be conveyed through Email / Short message Service (SMS) / telephonic communication to the immediate Manager / Head of Department and a copy of the leave application to be marked to the HR Department as well.
- Leave will be routed through the employees' Reporting Authority. The employee would not be entitled for leave if his / her Reporting Manager does not approve the same. It is the responsibility of the employee to take the approval of the Authority.

Leave Application Format is as follows:



LEAVE APPLICATION FORM

Date :

Name of Employee :

Employee Code :

Designation :

Department :

Leave Required for the Month of :

Type of Leave :

Leave		Total Leave
From	To	
Contact No. :		
Signature of Employee		Signature of HOD

For Office Use Only :

Balance Leave (as on dated: _____) :

Signature of _____



Company Holidays:

List of Holidays will be put up every year in January and will be applicable accordingly.

For Head and Corporate Offices:

Sl No.	Festival	Date	No. of days
1	Republic Day		1
2	Holi		1
3	Bengali New Year		1
4	May Day / Bhai duj		1
5	Independence Day		1
6	Gandhi Jayanti		1
7	Durga Puja		2
8	Deepawali		1
			Total: 09

Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – VII

TRAVELLING POLICY

HR | TP - 2013-14 | 007



Objectives:

- To provide guidelines in line with the best practices to employees while travelling within India or outside India for business purpose, also to ensure cost effectiveness and uniformity in travel and related expenses.

Policy:

- These rules shall be called Travelling Allowances Rule, 2013 of Maheshwari Mining Private Limited and its Associates Company.
- These rules shall come into force in respect of journeys commencing w.e.f 1st April, 2013.

Scope / Coverage:

- Unless otherwise specified these rules shall be applicable to all employees of Maheshwari Mining Private Limited (Both Executive and Non - Executive, Trainee, Probationers etc).
- The Company reserves the right to modify, cancel and amend all or any of these rules or any supplementary rule issued in connection of these rules without previous notice of its intention, as well as the right to give effect there to from the date of issue. The said Travelling Allowances amounts are liable to change on introduction of revised pay structure.
- The power to interpret these rules is reserved with the Company only.
- “Competent Authority” means the Board of Directors of “Maheshwari Mining Pvt. Ltd.”
- “Company” means Maheshwari Mining Private Limited and its Associates Company.
- “Employee” means any person appointed to any service or post in connection with the affairs of the company & under the management of the company but excludes a casual employee.
- “Pay” means the amount drawn monthly by an employee.
- Travelling allowance is excluded out of pocket expenses normally incurred on travelling on Company’s duty.



- Duty Journeys are of Two Kinds:
 - a. Journey on temporary duties, i.e. Tour.
 - b. Journeys on Transfer.
- Again there are two kind of “Journey on temporary duties” or “Tour”, i.e
- i. Local Tour Policy.
 - ii. Domestic/International Tour Policy.

a. Temporary Duty:

a.i. Headquarters on Tour.

a.ii. Headquarters of an employee in his / her station of posting will be the office where he / she normally performed his duty. If he hold more than one charge in more than one location, his office where he holds the principal charge will be his headquarters.

- i. **Local Tour Policy:** This policy can be implemented only if the travel is within the city with a radius of 30 Kms.
- ii. **Domestic / International Tour Policy:** This policy can be implemented only if the travel is outside the City / Country.

These travelling allowances rules shall apply to all full time employees / consultants / contract employees / trainees of MAHESHWARI MINING PRIVATE LIMITED and its Associates Companies as per this bellow structures:

Mode of Travel (For Domestic Only)

Sl. No.	Category	Outstation journey	Local Journey
1	VP / GM and Above	ACII class / Air Economy	A/C Car / Taxi
2	DGM and A.G.M	ACIII tier / AC Chair Car / Air Economy, AC Bus	A/C Car / Taxi
3	Sr. Manager, Manager, Sr. Geophysicist, Geophysicist, Geologist.	Sleeper class	Bus / Auto (On approval)
4	Dy. Manager, Sr. Officer / Executive, Sr. Engineer, Executive, Engineer	Sleeper class	Bus / Auto (On approval)
5	Asst. Officer, Asst. Engineer Sr. Supervisor, Supervisor, Operators, Asst. and other grades including Workmen	Sleeper class	Auto / Bus

i. LOCAL TOUR POLICY:

- If you have to travel for official purpose within the same city, you are entitled to local conveyance reimbursements. No reimbursement for routine travel from residence to place of work would be allowed.
- The reimbursements shall be done based on the following guidelines:
 - ✓ Travel expenses may be reimbursed only where the purpose of travel performed is only for the conduct of MMPL official business & attend official meeting from one office location to another & Lunch facility will be provided subject to Concerned HOD's approval on supporting paper.
 - ✓ It is the responsibility of each employee who seeks reimbursement for travel to ascertain that such claim is in accordance with the rules as set forth by the Organization.

- ✓ Failure to comply with these rules and regulations will result in delay of payment and may lead to total rejection of the claim.
- ✓ When two or more employees travel in a single private conveyance, only one shall receive the reimbursement under the following circumstances:
 - i. The vehicle on which the employee is travelling should either be their own or if borrowed from their colleagues would receive the reimbursement.
 - ii. If the employees are not using any of their own or colleagues' vehicles and travelling by private mode of transport like Auto rickshaw or bus or any local train or sharing services, then one of them would receive the reimbursement (the senior employee of the two).
 - iii. Claims for the week must be submitted by the end of the week to the reporting Head.
 - iv. HOD has to plan the travel of all employees under their authority to achieve maximum economy and efficiency.
 - v. The claim would be reimbursed only after receiving authorization from the reporting head.

Local Travel Entitlement Matrix			
Designation	Lunch (1meal) with Supporting Papers	Mode of Transport	Journey allowance
Officers and Executive	Rs. 50.00	Bus, Auto, Share Taxi	At actual
Manager and Above	Rs. 100.00	Taxi	At actual

Format is as follows:



Maheshwari Mining Pvt. Ltd.

Local Conveyance Expenditure Detail

Name :

Designation :

(Fig in Rs.)

Date	Place Visited		Purpose of Visit	Mode of Transport	Amount
	From	To			
				Total Amount	

Kindly reimburse the same.

Authorized by

Approved by

Signature of Executive
on Local Tour

HOD's Signature

(GM Level & above)

ii. DOMESTIC / INTERNATIONAL TOUR POLICY:

- Domestic and International Travel eligibility shall be as per company guidelines. Such guidelines may be reviewed from time to time.
- Every traveller has to maintain "Travel Request Form" first.
- While the travel advance already taken should be settled within 3 working days (max.), always be concerned that second travel advance will not be availed and also granted, unless the previous travel advance is cleared by a traveller. Travel advances may be granted to full-time, part time, temporary employees for out-of-pocket expenses expected to be incurred on a trip with an approval from the respective HOD.

- The permissible class and mode of travel has been specified in the Travel Entitlement Matrix and any deviation upward than specified in the Travel Entitlement Matrix will have to be approved by Director only.
- All air travel requisitions will be approved by the Director concerned.
Enclosed the format of “Travel Entitlement Matrix” as Annx. I. (Boarding Facility).

Boarding and Lodging:

No.	Category	Hotel Entitlements			Food & Other Expenses			Composite Allowance
		Metro Cities	State Capitals	Other Places	Metro Cities	State Capital	Other Places	
1	VP/ GM & Above	2000	1500	1200	700	600	500	Nil
2	DGM, AGM	1500	1100	800	600	500	400	Nil
3	Sr. Manager, Manager	1000	600	400	500	400	300	Depends
4	Dy. Manager, Sr. Officer, Sr. Engineer, Executive, Engineer, Asst. Officer, Asst. Engineer	700	500	300	300	250	200	130 / day
5	Sr. Supervisor, Supervisor, Operators, Asst. Other grades including Workmen	500	400	500	250	200	180	125 / day

Note:

- a) Delhi, Mumbai, Kolkata and Chennai are considered as Metro Cities.



- b) In case accommodation arrangement is made by an employee on his / her own, composite allowance shall be paid and in such cases bills need not be enclosed to the claim bill while making a settlement.
- c) If an employee stays in a Company provided guest house, composite allowance shall be restricted to 50% of the eligibility for first 10 days of stay and from the 11th day onwards the composite allowance shall be reduced to 25% of the eligibility as shown in the above table.
- d) Wherever possible, the employees must stay in Company's guest house. In case guest house accommodation is not available, Boarding & Lodging in Hotels as per the grades mentioned above is allowed.

Local Travel:

- Local conveyance reimbursement can be claimed for all official local travel while travelling from the office / work place to the place of visit and back.
- In case an official visit is to be undertaken directly from employee's residence to the place of visit, the employee cannot claim the whole amount for such a travel. In such a situation, only that distance or commuting fare can be claimed which is applicable for travel from the place of visit to office. This also applies for going home from a place of visit.
- In case the work place is a site, the employee cannot claim the conveyance for his daily visit.
- The reimbursement is to be claimed through the local conveyance reimbursement form.
- The local conveyance reimbursement form is to be authorized only by the reporting authority. Without authorization from the Immediate Manager, the claim shall not be processed by HR & Admin Department. However such an authorization is not required for Managers and above.
- The specified mode of travel for all employees up to the Asst. Manager level is a two wheeler, or self owned four - wheeler. For Managerial level and above, a call taxi can be hired for local travel. Local Conveyance can be claimed by the employee in the prescribed form Annexure -18 A.



Annexure 18- A

Format for local conveyance reimbursement

Date: _____

Name of the employee: _____ Designation : _____

Employee Code No : _____ Department : _____

Date of Travel _____ Place of travel : _____

Purpose of travel _____

S. N	Travel details		Distance (In kms)	Mode of transport	Total Cost	Remarks
	From	To				

Signature of the Employee

Signature of HOD



The rate of reimbursement under this policy is as follows:

MODE OF TRAVEL	REIMBURSEMENT RS. / KM
Two Wheeler	Rs. 2.50/KM
Car	Rs. 10.00/ KM

Travelling Expense Reimbursement for Drivers:

OUT DOOR TOUR FOR	TEA / BREAKFAST	LUNCH	DINNER	NIGHT HALT
12 Hrs.	0	50	0	0
16 Hrs.	0	50	50	0
24 Hrs.	15	50	50	150

- The Limit of Daily Travelling expenses including Boarding and Lodging, with Supporting Paper and without supporting paper for Domestic Travel is fixed in the Travel Entitlement Matrix and please be noted following:
 - ✓ Liquor and cigarette expenses are not reimbursable by the Company.
 - ✓ A traveller will have to submit supporting like cash memo, bills, etc. (wherever such supporting are normally given) evidencing incurrence of any of expenses claimed by him for reimbursement.
 - ✓ No reimbursements will be admissible in cases where food and or accommodation is borne by the client and paid for by the client directly.
- Expenses while staying at Guest House is as follows:
 - ✓ In case the guest house provides for food (Lunch / Dinner etc.) also, no reimbursement for food will be allowed to the traveller.
 - ✓ In case the guest house does not provide food at all, the limit of reimbursement will be as specified in the Travel entitlement Matrix (without supporting paper).
 - ✓ No personal calls will be reimbursed. Only official calls will be reimbursed at actual basis provided subject to the necessary supporting are submitted.



- ✓ An employee's own car for official use will be reimbursed @ Rs. 10.00 per km at the existing rate of Petrol subject to prior approval from Director and should be enclosed along with travelling expense statement.

Reimbursement of Miscellaneous Expenses:

- It is certainly recognized that during travel we incur many types of miscellaneous expenses which very often cannot be evidenced by supporting documents. In order to cover the above expenses, one statement will be prepared and approved by concerned HOD and enclosed with Travel expenses statement for reimbursement.
- Following processes need to be followed for any Domestic Travel:
 - ✓ Prepare a "TRAVEL REQUEST FORM" (TRF) in duplicate at least 3 working days prior to the travel is undertaken, duly approved by Head of the Department and submit it to the Front Desk Executive. Request for Hotel booking has to be mentioned in the Travel Requisition.
 - ✓ Front Desk Executive needs to validate the request and process the same based on the Travel Policy and Entitlement of the Employee and take an approval from Accounts Department.
 - ✓ One copy of "TRAVEL REQUEST FORM" (TRF) will be kept with Front Desk for necessary arrangements like Train / Air Ticket, Hotel booking etc and future reference.
 - ✓ One copy of "TRAVEL REQUEST FORM" (TRF) must be given to Accounts Department for necessary travel advance.
 - ✓ On completion of the tour, the "TRAVEL EXPENSE STATEMENT" (TES) has to be filled in for settling dues. Submit a Travel Expense Statement to accounts department with all supporting bills / vouchers.

Conditions of Travel Policy:

1. Air travel by Economy Class only.
2. Daily expenses include all expenses i.e laundry, tips and all petty expenses. Under no circumstances cost of liquor, tobacco, private trunk / STD calls or any expense of personal nature shall be reimbursed.

3. While leaving for tour, the person will be entitled to charge daily allowance as per the norms given below:
 - (a) If any one proceeds on tour before 12 noon and spends the night in train shall be paid 50% of his daily travelling expenses.
 - (b) If any one proceeds on tour after 12 noon shall be entitled for 25% of his daily travelling expenses.
 - (c) Similarly, any one returning from tour, the expenses shall be paid in the above manner.
4.
 - (a) Actual conveyance expenses shall be paid up to Staffs and Sub Staffs and they shall be entitled to avail auto - rickshaw, bus, train, metro and local train as per availability and exigency of work.
 - (b) Executives (Management Grade) can claim actual taxi fare and also avail of private taxi depending on exigency of work with approval of Director.
 - (c) For reimbursement of taxi / auto / local bus / local train fare, full details of journey i.e. date, travel point, fare paid for every trip must be submitted in the traveling bills.
5.
 - (a) While submitting expenses statements, photocopy of Air Ticket / Railway tickets / Original bus tickets to be enclosed.
 - (b) In case of Air flight, used Air ticket and boarding pass to be enclosed with the expense statement.
6. For Project Manager and Project Co - Ordinator hotel bills to be settled as far as possible by card to avoid unnecessary carrying of large amount of cash.
7. Only STD and Local calls made for company's purpose will be reimbursed. Supported with actual bills.
8. Travelling expenses bill must be submitted within Five days of return from journey in the prescribed format WITH TOUR REPORT through HR Department.

Use of Personal Vehicle – Motorcycle / Scooter / Car:

- For use of Motorcycle or Scooter for official purpose, rate of reimbursement will be Rs. 2.50 per Km.



- Employees will be given reimbursement at the rate of Rs. 10 per Km for use of personal car for official purpose. In regards of this matter, following should be noted:
 - ✓ Car to be strictly used as and when for Company's Official Purpose only or when Company's vehicle will not be available.
 - ✓ Company's vehicle will only be used for official work. In absence of the same, employee can use his personal car on permission from his immediate boss or site incharge. After Senior HR person takes charge, he will be authorized thereafter.
 - ✓ Use of personal vehicle from current accommodation to site and from site to accommodation is not reimbursable.
 - ✓ Once an employee starts to reside at Company's accommodation at site, then he will have to use Company's vehicle.
 - ✓ Further, the actual Travelling Bills have to be submitted weekly followed by requisite sanction from Site Head / Immediate Boss for use of personal vehicle.

b. Journey on Transfer:

- There may be situations during employment with the company that may require to be transferred from one work station to another. Transfer Travelling Allowances will be admissible only in cases where a change of station on transfer is involved.
- In order to facilitate your movement from one place to another in the event of a job transfer and to improve the financial strain on you at such a time the following policy has been framed. A transfer could be to any office in India and abroad. Transfer can be affected as a result of management decision – in which case the following policy is followed. In event of Transfer being on request, the Policy will not be applicable.
- Advance of Travelling Allowances should be paid in connection with such journeys.
- No Daily Allowances will be admissible for such Journeys and halts.

Travel Fare against Transfer:

- Actual fare (with supporting papers) for self only for movement from existing location to transferred location.



Relocation / Transfer expenses:

- Various miscellaneous expenses related to shifting will be reimbursed as per approval of Board of Directors.

Transportation of Luggage:

- MMPL will reimburse expenses incurred by you towards transportation of your belongings from the current place of posting to the new place of posting subject to bills being attached with claims.
- Before selecting a transporter for packing, unpacking, loading, unloading and transfer, including insurance of all goods, you need to send quotations of packers and movers to Accounts Department through Reporting Head for prior approval. A list of all items to be transported should be included as an Annexure. You may then go ahead with the transport of personal effects on the basis of the approved amount.
- Maximum 7 working days leave will be granted as special leave to the employee, for packing, unpacking and related matters.

Transportation of vehicles:

- In the event where an employee has to transfer his vehicle (registered in his / her name only) the same has to be done by the employee and the amount will be reimbursed by the Company.
- For all Executive levels only two wheeler claims is applicable.
- For Managers and above Car claim is acceptable.

Request Transfers:

- Management may consider your request for transfer, based on factors such as availability of the vacancy, employee's past record, utility to Company, etc. No entitlements are applicable. Request transfers are not a matter of right; these will be solely at the discretion of the Management.



General Notes:

- HR through the Head of the Department will issue a Letter of Transfer.
- Before a request transfer is affected, a fresh set of KRA's will be given by Head of the Department through HR Department to the member at least 15 days in advance.

Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.



CHAPTER – VIII

MOBILE, LAPTOP AND DATA CARD USAGE POLICY

HR | ML & DCUP - 2013-14 | 008



EMPLOYEE MOBILE USAGE POLICY

Objective:

- The objective of this policy is to facilitate the Employees in their jobs by increasing communication within the organization and especially with the customers and to prevent them from the hassle of purchasing Sim Cards / Hand Sets.
- Define clearly who is entitled to a cell phone and how the costs of purchasing the asset plus ancillary equipment, and the rental and call costs will be met.
- Streamline statement administration and payment, and the reimbursement of the costs of business calls.
- The Organization's Mobile Phone Policy exists to control costs, secure organization data and protect mobile devices from theft.

Policy:

- Cellular telephones and personal digital assistants (PDAs) – such as Blackberry, Smartphone and Treo devices – enable fast communications, remote wireless network connectivity and more productive mobile employees. However, such devices add significant operating expenses and create additional security concerns for the organization. As such, the Organization maintains and enforces this Mobile Phone Policy to help the organization maximize security while also managing costs.

Scope / Coverage:

- Every officer, manager, employee, temporary worker, and volunteer is subject to the terms of the Organization's Mobile Phone Policy.
- Employees who by virtue of their function have a constant need to be in contact with other employees and to attend external customers or office work through mobile phone.



Responsibility:

- The Director, Finance and Administration.
- Managers are responsible for authorizing the provision of Cell Phones and the use of personal cell phones for business purposes. Managers are also responsible for informing their employees who are provided with Cell Phones of the requirements of this policy, and for reviewing billing statements to determine the charges that must be reimbursed and to ensure accuracy of costs.
- Employees who have been provided with a Cell Phone for business use are responsible for using the Cell Phone in accordance with this policy.

Reimbursement Rules:

Company is entitled to pay monthly rental charges + taxes + call charges up to a limit as per the grades and perks.

- The Mobile handset given by Company should be valued not more than 10% of basic salary of the employees with a minimum cost of Rs. 1000/-. Purchase of any mobile handset more than this value will be on account of the employee.
- Bill amount exceeding other than official calls should be recovered by the employees.
- Expenses in excess of approved limits can be reimbursed only on approval from their immediate reporting authority in some cases.
- ISD facility shall be provided on approval from the HR & A office. HRD shall keep informed the top management about the ISD users on regular basis.
- At top management levels reimbursement can be direct and full.
- Company shall allocate the mobile sets as per the Policy only. In case the employee desires to have an instrument with higher value than his / her entitlement, the difference of the same has to be borne by the employee. The Company shall not reimburse any amount in addition to his / her entitlement.

Mode of Reimbursement:

- Direct payment by the company to the service provider.



- Monthly reimbursement to employee on presentation of detailed bills.
- Excess amount of bills other than official calls can be charged by employee in cash / cheque debited to their salary.

Safety rules:

- Employees are liable for safety of the phone.
- In case of handset damaged / lost (non – insured) cost should be recovered from the employees.
- A **Mobile Usage Declaration** to be filled by the employees who receive cell phones from the Company, where Model and IMEI number of the cell phone should be clearly mentioned along with other details, so that the cell phone can be located or locked or made unusable in case of theft or damage.

Operative Guidelines:

- Where providing of such facility is warranted, formal approval will be sought.
- Asset purchased form duly signed by Head - Accounts.
- The Mobile Usage Declaration is required to be filled by the employee mentioning employee's details and cell phone details as required by the management.
- Cost of mobile should be within entitlement.
- Replacement of handset by existing employees can be done after expiry of **3 years**.
- In case of employee separation from company, sim + set to be surrendered to the company by employee.
- Full and final settlement of employee will be put on hold until the sim and set is not surrendered.

Note: If an employee changes his / her handset at his / her own cost, he / she must inform the Company the Model Number and IMEI Number of the mobile phone for security - related issues. IMEI and other phone details of any other personal mobile owned by employee should also be informed to the Company for safety and security.



Advantages:

- Easy accessibility to all employees.
- Employee benefit – reducing effort of buying sim + set.
- Company can save the cost by purchasing the same corporate plan and set for all employees. Therefore, employees will get a connection at low cost.
- Free group calling within the Organization.

Damage, Loss or Abuse:

- The cell phone provided is office property and it is the responsibility of the staff member to keep it in working condition. If a phone becomes damaged, it should be brought to HR Department, who will contact the vendor for replacement or repair. Lost or stolen cell phone should be immediately reported to the employee's manager / HR department so that the phone service can be cancelled. All business-related costs incurred for replacement or repair will be the responsibility of the HR department, however, staff members are responsible for repair costs due to abuse or neglect as determined by the management.
- **Note: MMPL reserves the right to limit or terminate cell phone privileges in the best interest of the Company. MMPL reserves the right to limit or terminate cell phone privileges in the best interest of the Company.**

Employee Separation:

- The HR Department is responsible for notifying the Director upon receiving notice that a staff member with an office-owned cell phone service will be leaving the Company. On the last day of work, the company-owned mobile phone and accessories will be collected and either returned to the HR Department for future distribution to new / replacement staff members, or retained for reallocation within the department. Updated information regarding staff assignments must be provided to the Director and the Accounting Manager.

Mobile Usage Declaration:

A Mobile Usage Declaration format to be filled by employees who receive mobile phones from the company is mentioned hereafter in this Policy.



Maheshwari Mining Pvt. Ltd.

**21, CLM Lane, Raniganj
Burdwan - 713347**

ACKNOWLEDGEMENT

I, _____ working as _____ have received a _____ Mobile of Model No. : _____, IMEI No. _____ along with charger, user manual and other accessories. The phone will be kept under my custody. The above mobile will be used for official purposes and will be returned to the Company on demand or at the time of leaving the services of the Company. The cost of the handset is Rs. _____/-. In case the handset is damaged or lost the cost of the same shall be recovered.

PS: Your eligibility is Rs. _____/- per month, which includes voice & data usage. If your voice & data usage exceeds eligibility, the same shall be deducted from your salary.

The _____ connection number is: _____

Name of the employee : _____

Designation : _____

Alternate Mobile Number : _____

Any Family Member's Number : _____

Date :

(Signature of the Employee)

(Signature of HR Manager)



EMPLOYEE LAPTOP USAGE POLICY

Objective:

- The Laptop Policy is designed to assist the Employees to comply with the business objectives and work even on field, or any place away from office and to access company application like Mails, etc. anywhere to comply with the work processes.

Policy:

- Company Laptops are defined as laptops purchased by the employer and given to an employee for business use. The company provides laptops to selected employees on the basis of sufficient job related rationale. Since laptop is expensive equipment, it is important that necessary guidelines be laid down for its procurement / purchase and subsequent usage / disposal. Hence the policy is important.

Scope / Coverage:

- This policy is applicable only to employees who are continuously mobile. For Support Functions, HR, IT, Finance, Logistics, Service, and HO etc. will be provided on need basis.

Responsibility:

- Managing Director / Director
- Accounts Department
- HR Department
- Purchase Department
- IT Department
- Employees who have been provided with Company Laptops



Procedure for Procurement:

- i. A request for a laptop for an employee will be raised by his / her HOD.
- ii. This request duly vetted, justified and recommended by the respective HOD, as the case may be will be sent to IT department.
- iii. The Corporate IT will endorse the necessary specifications, suggest the model and approximate cost of the laptop and send it to the MD for his approval. If an old functional laptop meeting the required specifications is available in the IT Department, the HOD and Corporate IT may recommend the issue of the same.
- iv. The office of the MD will send the requisition, duly approved, for necessary purchase action to HOD-Purchase.
- v. Once the laptop is purchased, it will be delivered to the individual and a receipt obtained by the HOD-Purchase, as the case may be.
- vi. The employee can requisition for replacement of a laptop after **five years** through his HOD / HO-Div as the case may be, by the same procedure as above.
- vii. Should there be a necessity to replace a laptop before five years due to technical reasons, the same will be justified by the HOD and procedure for its replacement followed as given above.

Employees agree to the following actions regarding Company Laptops:

- Employee needs to carry Laptop daily to the Office without fail and it should be strictly used for official purpose in the interest of the Organization's objectives and priorities.
- Employee will not use company laptop for personal use such as personal emails, IMs, web browsing, social networking, entertainment, etc.
- Employee will use licensed Operating System (Professional Edition) and other software on his / her laptop and will be solely responsible for the safe keeping of the data.



- It is mandatory for the employee to deploy and adhere IT policies communicated and implemented by the IT time to time like taking laptop on Office Domain / Network, following discipline software installation defined by IT so on.
- Employee will not install personal software on company laptop.
- Employee will report Loss or Theft of company laptop to IT or management immediately.
- Employee will take all reasonable measures to ensure the physical and digital security of the laptop including:
 - Locking the laptop in a secure location when it is not in use.
 - Changing the password as often as required by employer.
 - Ensuring that Company provided Anti-virus, Firewall, or Encryption software is functioning.
- In the event of termination or separation, all company property, including Company Laptops, must be returned to employer.

Reimbursement of Amount in Case of Personal Laptop:

- Reimbursement of **Rs. 500 /- to Rs. 800 /- p.m.** is applicable maximum for **36 months**.
- Reimbursement will be paid only on formal confirmation from Finance Manager.
- Reimbursement will not be paid for peripherals like Mouse, Pen Drive so on.
- No reimbursement will be paid by Company in case of repairs or replacement or up gradation of spares in personal laptop. Maintenance will be sole responsibility of the employee.

Security of Laptop and Data:

- It is mandatory to the employee to handle the laptop carefully and take maximum precautions to avoid any physical damages to the laptop.
- Employees are not permitted to delete the Company data on the Laptop and maintain absolute Confidentiality about the data in total interest of the Company during their tenure with the Company.



- Authorized representatives can inspect the Laptop, its usage and the data maintained at any time and the employee is required to readily submit the laptop for such inspections without hesitation.
- Misuse of the laptop like visiting restricted sites, saving unauthorized data so on are strictly prohibited. Strict action will be initiated against employee if any such activities are found.
- Hard disk crash, system failure, window corruptions, software corruptions due to surfing of illegal, offensive or unethical sites will be sole responsibility of the users.
- Adaptor failure before **2 years**, battery failure before **3 years**, breakage of the keyboard, laptop screen breakage, any hardware failure due to liquid spillages, responsibility of the users.

Loss of Laptop:

- If a laptop is lost or damaged by the employee, an amount equal to its depreciated value (to be worked out by the Finance Department of the Company) will be deducted from his / her salary and a new one will be given to him / her as per procedure. In case of misplace / theft / total damage due to mishandling of the laptop, the entire cost of laptop has to be paid back / settled by the employee. Decision of cost will be taken by Finance + IT jointly.

Disposal of old Laptops:

- Old laptop which is in functional condition and has been replaced will be returned to Corporate-IT / HOD by the employee at the time of replacement.

Employee Separation:

- The HR Department is responsible for notifying the Director upon receiving notice that a staff member with an office-owned laptop service will be leaving the Company. On the last day of work, the company-owned laptop and accessories will be collected and either returned to the HR Department for future distribution to new / replacement staff members, or retained for reallocation within the department. Updated information regarding staff assignments must be provided to the Director and the Accounting Manager.



- While cessation of the employee, laptop must be returned to IT. IT will format the laptop and will ensure that all company data back-up is taken and removed from Laptop.
- IT will handover the company data to respective person within organization only on formal approval of HOD. Any request from employee will not be entertained.
- While cessation of an employee if laptop is not returned then HR will hold the full and final settlement of the employee as returning the company data is mandatory for employee. (Subject to Management's discretion).

Laptop Usage Declaration:

A Laptop Usage Declaration format to be filled by employees who receive Laptops from the Company is mentioned hereafter in this Policy.



Maheshwari Mining Pvt. Ltd.

**21, CLM Lane, Raniganj
Burdwan - 713347**

ACKNOWLEDGEMENT

I, _____ working as _____
have received a _____ Laptop of Model Name : _____,
Serial No. _____, Laptop Make: _____,
Description: _____ along with adaptor, battery,
mouse, key board and laptop bag. The laptop will be kept under my
custody. The above laptop will be used for official purposes and will be
returned to the Company on demand or at the time of leaving the
services of the company. The cost of the Laptop is Rs. _____/-. In
case the Laptop is damaged or lost the cost of the same shall be
recovered.

PS: Your eligibility is Rs. _____/- per month, which includes data
usage. If your data usage exceeds eligibility, the same shall be
deducted from your salary.

Name of the employee : _____

Designation : _____

Mobile Number : _____

Any Family Member's Number : _____

Date :

(Signature of the Employee)

(Signature of HR Manager)



EMPLOYEE DATA CARD USAGE POLICY

Objective:

- The objective of this policy is to facilitate employees establish ease in internet connectivity by use of data cards.

Policy:

- Company Data Cards are purchased by the employer and given to an employee for business use. The Company provides data cards to selected employees on the basis of sufficient job related rationale. This Policy lays down necessary guidelines for its procurement / purchase and subsequent usage / disposal.

Scope / Coverage:

- This Policy is applicable to all permanent employees of the Organization who have been provided with Company laptop and data card for official usage.

Responsibility:

- Managing Director
- Accounts Department
- HR Department
- Purchase Department
- IT Department
- Employees who have been provided with Company Data Cards



Policy- Clause Guidelines:

- Data Card will be issued once the Application Form is duly filled in by and submitted to HR for further processing.
- While cessation, concerned employee should submit the data card to IT Department along with No dues claim form, failing which card will be discontinued.
- Details of Data card will be maintained by IT Department / Commercial Department.
- Data Cards purchased by the employee at his / her own cost will not be eligible for any reimbursements.
- Data card usage limit set is **Rs. 400** /- per month. Cost of any extra usage to be borne by the employee.
- HR at Corporate and factory and commercial head at branches should deduct this extra usage from employee salary.
- **Rs. 1500** /- will be deducted for misplacement / damage of Data Cards. In case of misplacement, employee should immediately inform to IT Department for suspension of card to avoid any misuse. However; employee will be responsible in case such misuse is being done.
- The employee should use the Data cards for official purposes only and in the interest of organizational objectives and priorities. Employees are not allowed to use their data card for personal benefits and entertainment.
- Employees will be solely responsible for the upkeep / maintenance and safe custody of the Data Card till their employment.
- The Employee will abide by all rules framed by the Company from time to time towards the usage of the Data Card.
- The data card should not be used for effecting security breaches or disruptions of Internet communication. Security breaches include, but are not limited to, accessing data of which you are not an intended recipient or logging into a server or account that you are not expressly authorized to access. The Data Cards not to be used in any case for personal Internet Browsing.
- Data Card should not be used at office / site where Wi – Fi / Broadband is working.



Data Card Usage Declaration:

A Data Card Usage Declaration format to be filled by employees who receive Data Card along with Sim Card from the Company is mentioned hereafter in this Policy.



Maheshwari Mining Pvt. Ltd.

**21, CLM Lane, Raniganj
Burdwan - 713347**

ACKNOWLEDGEMENT

I, _____ working as _____
have received a Reliance Data Card of 2G/3G Connection, Serial
No. _____ along with Sim Card. The data card
will be kept under my custody. The above data and sim card will be
used for official purposes and will be returned to the Company on
demand or at the time of leaving the services of the company. The cost
of the data card is Rs. _____/-. The cost of the Sim card is
Rs. _____/-. In case the Data or Sim card is damaged or lost the cost
of the same shall be recovered.

PS: Your eligibility is Rs. _____/- per month, which includes data
usage. If your data usage exceeds eligibility, the same shall be
deducted from your salary.

The Sim Card name is _____

The Sim Card number is: _____

Name of the employee : _____

Designation : _____

Mobile Number : _____

Any Family Member's Number : _____

Date:

(Signature of the Employee)

(Signature of HR Manager)



Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – IX

OCCUPATIONAL HEALTH AND SAFETY POLICY

HR | OH & SP - 2013-14 | 009



Objective:

- The objective of Occupational Health and Safety Policy is to promote safety and better working culture and conditions to make “Safety a way of life in the Organization”.
- The Department is also committed to injury management aimed at the early and safe return to work of injured staff, in accordance with its legislative obligations.
- The Department is committed to regular Occupational Health and Safety consultation with staff and their representatives and, where necessary with contractors and suppliers of equipment and services, to ensure that occupational health and safety management is of the highest standard.
- The Department has a comprehensive range of strategies and programs available to staff to support their health, safety and well being and the return to work of ill or injured staff, including ensuring training and instruction is provided to staff commensurate with their roles and responsibilities to enable them to comply with this policy.
- The Department has systems and procedures in place to ensure implementation of this policy.

Definition:

- “Occupational health should aim at: the promotion and maintenance of the highest degree of physical, mental and social well-being of workers in all occupations; the prevention amongst workers of departures from health caused by their working conditions; the protection of workers in their employment from risks resulting from factors adverse to health; the placing and maintenance of the worker in an occupational environment adapted to his physiological and psychological capabilities; and, to summarize, the adaptation of work to man and of each man to his job”.

— Joint ILO / WHO Committee on Occupational Health

Policy:

- As a good corporate citizen, MMPL is committed to Safety and Health of its employees and concerned persons who may be affected by its operation.



- To achieve this commitment, it is our policy to:
 - ✓ Integrate Safety and Health measures in all our activities.
 - ✓ Comply with all applicable legal and other requirements to which the Organization subscribes.
 - ✓ Promote Safety & Health awareness amongst employees, suppliers, customers and dealers.
 - ✓ Continually improve the Safety performance through precautions besides participation and training of all employees.

- This policy is in accordance with the Occupational Health and Safety Laws namely The Mines Act, 1952 and Rules and Regulations framed there under; The Factories Act, 1948 and Rules framed there under; and The Dangerous Machines (Regulation) Act, 1983.

Scope / Coverage:

- All employees in the Organization.

Responsibility:

- The Board of Directors will ensure that Occupational Health and Safety responsibilities are appropriately implemented and defined and that workplace managers and supervisors receive the training and resources they need to carry out their Occupational Health and Safety responsibilities competently.

- HR Department is responsible for effective formulation and implementation of the Policy.

- Senior officers of the Departments acknowledge that they have a primary responsibility for the health and safety of those who work under their direction.

- All managers and supervisors have a duty to provide and maintain, as far as practicable, a working environment and conditions that are safe and without risks to health.

- Employees are responsible to:
 - ✓ Comply with their obligations under the Occupational Health & Safety Policy.



- ✓ Take reasonable care to ensure the health and safety of themselves, and others under their supervision at work.
- ✓ Use all provided personal protective clothing and equipment (PPE) in accordance with directions, and report when any PPE requires repair, replacement or where risk assessment indicates the need for PPE to be provided by the employer.
- ✓ Cooperate with the Department as far as necessary to enable compliance with any requirement under the Occupational Health & Safety Policy, including with any reasonable instruction or direction given by a principal workplace manager.
- ✓ Assist the Department with its Occupational Health & Safety obligations by reporting and recording all incidents (including incidents of violence or bullying) and hazards that may cause injury or illness (including damage to facilities or plant requiring maintenance).
- ✓ Participate in training arranged to support the implementation of this policy.

Maheshwari Mining Private Limited will provide:

- ✓ Management systems and resources to support the full implementation of this policy.
- ✓ Appropriately skilled personnel capable of efficiently and safely carrying out the work functions.
- ✓ Equipment which is designed maintained and inspected to minimize risks to health and safety.
- ✓ Adequate instruction in and supervision of the performance of work.

Key Policy – Clause:

- The Safety Officer shall address equipment safety and employee safety in the organization.
- One (1) pair of Safety Shoes and One (1) Safety Helmet shall be provided every year after the new employees or trainees join at sites. One (1) pair of Gumboot may be provided every 6 months at the sites on discretion of Management.



- The company also shall provide Safety Hand gloves and other Personal Protective Equipments as per the functional requirements to the employees including trainees working at site.
- The Safety Officer shall conduct regular round to the site to identify unsafe practices and notify the same for proper compliance.
- Periodically all safety means, such as fire hydrants, fire fighting equipments, etc. shall be checked and refilled.
- Mock - drill shall also be conducted on periodic basis at various locations.

Whilst it is the responsibility of management to ensure workplace health and safety, the success of this policy relies heavily on the cooperation and commitment of all personnel. All personnel have a duty to act responsibly and to do everything they can to prevent injury to themselves and others.

Each employee has no more important duty and responsibility than to ensure, within his or her capacity, that work is carried out safely and efficiently.

No task will be seen as so important as to compromise health and safety. Consideration must be given to determining a safe work method for each and every activity.

We undertake to work towards continuous improvement of occupational health and safety within all of our operations and to involve employees in occupational health and safety matters and consult with them on ways to reduce workplace hazards and improve control systems.

Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – X

MEDICAL REIMBURSEMENT AND MEDICLAIM POLICY

HR | MR & MP - 2013- 14 | 010



Objective:

- To provide better Health and Quality of Life to individuals working with the Company and their immediate family members.
- Mediclaim Policy is a welfare policy, which shall enable the employees to claim reimbursement of expenses in case of hospitalization for illness / diseases or injury sustained.

Policy:

- This policy will be taken on the date of joining itself. Company will deposit an advance amount with Insurance Company for inclusion of new joiners. On the day of joining, Unit HRM will intimate Insurance Company for inclusion of new employee in Mediclaim insurance from day one.
- Company will take **Floater Policy** including Maternity benefits having child care coverage for all employees, other than covered under ESI. Once an Employee is out of ESI scheme, company will immediately take the Mediclaim policy. Floater policy means all family members will be covered under the same amount collectively and not individually.
- The meaning of **family** is self, spouse and children. No other family members / dependents of the employees will be included in the policy. If insurance company allows inclusion of any member at extra premium, the additional premium will be borne by the employee.
- In case employee is already having Mediclaim policy, is exempted under this scheme subject to submission of copy of policy to the concerned HRM Head and he is entitled for reimbursement of the amount against the same as per his entitlement of premium amount.

Scope / Coverage:

- Company shall acquire the policy in respect of selected employees as per discretion of Management.

Responsibility:

- Recommendation – Respective HOD / Site HR
- Approval – Corporate HR



- Payment reimbursement – Accounts Department

MEDICAL REIMBURSEMENT:

Scope / Coverage:

- Applicable to only selected employees as per discretion of Management.

Claim:

- Preliminary notice of claim with particulars relating to policy number, name of insured person in respect of who claim is made, nature of illness / injury name and address of the attending medical practitioner / hospital / nursing home should be given to the insurance company within seven days from the date of hospitalization/injury / death.

Key Policy- Clause:

- The scheme is applicable to only selected employees as per discretion of Management.
- Any individual may opt the scheme as a part of CTC.
- The Coverage includes declared dependent family members i.e., Wife, Children (maximum of two children and up to the age of 25).
- Medical Reimbursement Amount does not lapse if not en-cashed.
- Reimbursement is subject to maximum limit shown in letter of appointment.
- In case an individual joins in the course of the year, the actual limit shall be pro - rated for the number of months completed as on 31st March of the year.
- All Medical Reimbursement Claims towards Doctor's Fee, Medicines, Laboratory Tests, Spectacles, Dentures, etc. must be supported by Bills / Receipts / Cash Memo and shall be submitted to Accounts Department on monthly basis by 15th of each month.



- NO REIMBURSEMENT shall be made for expenses on Baby foods, Beauty Aids, Cosmetics and Health Drinks and expenses under Naturopathy System.
- In case Workmen Compensation Policy or Medical Insurance Policy or Policy of Similar kind already registered in employee's name by the Company, Medclaim will not be done.
- Medical expenses bills of a financial year must be claimed during that year or during the first Quarter of the next year else the Bill shall be considered as 'Not Eligible'. Unutilized medical reimbursement expenses can be carried forward to unlimited amount. Any tax liability on this amount has to be borne by the individual employee.
- Medical Expenses without submitting medical bills and shall pay in monthly salary.

MEDICAL FACILITY:

Scope / Coverage:

- All Employees, Trainees and Contract persons working at Project site who come across any minor or major Injury on Work, as per discretion of Management.

Key Policy- Clause:

- First aid boxes are kept and made available at various locations in the Plant.
- In case of accident or injuries, the Company shall take care to ensure that first-aid is given to each and every employee who meets with an accident.

HEALTH CHECKUP AND CAMPS:

Scope / Coverage:

- All Employees including Trainees working at Project site, as per discretion of Management.



Key Policy- Clause:

- The Company shall initiate the Health Checkup Program (s) for all its employees as per statutory laws applicable in different States.
- Health Checkups shall be organized on a periodical basis and their arrangement shall be communicated to the Employees from time to time.
- Health Checkups shall be either organized in project sites or any of the Company referred Hospitals.

FIRST AID CENTRE:

Key Policy- Clause:

- In case of “Injury on Work”, the concerned employee or supervisor or any other person should first contact with the attendant in First Aid Centre (FAC).
- FAC will only provide First Aid Services. In case of major injury (which is beyond the control of attendant) the injured person will be sent to Company’s authorized doctor or hospital.
- No employee should instruct the attendant of First Aid Centre regarding their choice of treatment with any hospital referred by them.
- The attendant of First Aid Centre is trained for only first aid services during injury on works and not competent enough to suggest any medicine, pain killer etc. In such case all are requested to avoid taking medicine without consulting any doctor.
- Besides, injury on work for any other medical treatment, First Aid Centre will refer the case to the Doctor and expenses towards those treatments will be borne by the concerned employee only.
- Attendants or doctors are advised not to give any such medicines which create drowsiness to any employee during duty hours to avoid any accident.
- No employee is allowed to attend duty in drunken position.



- In case of any person injured on work while in drunken condition, the expenses towards first aid as well as doctor facilities provided to him will be charged from the concerned employee. In such cases, management reserves the right to initiate disciplinary action against him.
- No employee or person is allowed to sit for gossiping in the First Aid Centre.

MEDICLAIM INSURANCE POLICY:

Objective:

- To build positive and supportive attitudes towards those infected and promote health and safety amongst the employees.

Scope / Coverage:

- Selected employees as per discretion of Management.
- Optional for individual.

Key Policy- Clause:

What It Covers:

- It covers expenses incurred towards hospitalization up to the limit of amount insured.
- For illness / disease.
- Hospitalization due to accident.
- Minimum 24 hours stay at the hospital is compulsory.
- Any pre existing illness treatment taken prior to joining of policy not covered. Pre and post hospitalization expenses pertaining to the treatment at the hospitalization.
- Period covered 30 days pre and 60 days post.



- It covers self, spouse and two children under the single sum insured.
- Expenses for Maternity are not covered under the Policy.
- Checkups cursory tests general colds and coughs are not covered. Other terms as per insurance company's detailed guidelines.

Employees' Obligations To:

- Provide the correct information regarding the name and age of your family members to Corporate HR at the time of joining.
- Pay a nominal advance at the hospital, to ensure uninterrupted service.
- Pay only in the event, the concerned is unable to communicate and at unearthly hours and emergency treatment is given by hospital and ensure that the details of your employee code are correctly filled and given to the billing section of the hospital.
- Follow up for the fax to be sent by the hospital to the Third Party Administrator (TPA), so that TPA can timely approve. This takes less than four hour subject to documents.
- Check the veracity of the bills to ensure that you have been charged only for the treatment given.

Employees' Benefits:

- Hospitalization treatment at employees' choice within listed hospitals.
- Treatment at the hospital without paying cost.
- Ensuring the family members is always protected.

Cash less Facility:

- A facility where the employee, need not to pay cash for all expenses RELATED TO ILLNESS / DISEASE.



How to get cash less facility? What to do?

- ✓ Check if the hospital is on the panel of the TPA.
- ✓ Hospital needs to be registered with the local authorities.
- ✓ With more than 18 beds and is capable of performing operations.
- ✓ You need to approach the billing section of hospital fill in a form mentioning the details of the treatment. Show the card if you have else.
- ✓ Fill in your Id which refers to your employee Id.
- ✓ Show your company Id card at the billing section after providing a photocopy of the same.
- ✓ Copy of form needs to be faxed by the hospital to the TPA.
- ✓ TPA after verifying by the panel will send an approval for the same.
- ✓ Before discharge the final bills need to be intimated, this takes a little time please provide for the same after which you get final approval/clearance for the bill.

Reimbursement:

- In case the hospital is not in panel.
 - ✓ Get treatment at your choice of hospital within the listed hospital.
 - ✓ Fill claim form.
 - ✓ Write your member ID.
 - ✓ Submit all prescriptions, reports, bills in original, test reports hard proof like X-ray Scan etc.
 - ✓ Payment proof in Original for getting the same settled by the Insurance Company.
- The claim will be processed by insurance cell through Insurance Company.
- You will be paid by cheque on receipt of the claim.



- For recovering expenses incurred post and pre hospitalization.
 - ✓ Please follow same steps mentioned above.
 - ✓ Ensure that all the documents are submitted in Original and in complete respects; any shortfall in documents would delay the processing.

GROUP PERSONAL ACCIDENT POLICY (GPA POLICY):

Objective:

- The objective of the Group Personal Accident Policy is to help employees and / or their dependants in reimbursing the medical treatment of the insured employee and also financial assistance to the insured employee's family in case he or she dies of accident at work.

Scope / Coverage:

- Selected Employees as per the discretion of Management.

Definition and Key Policy- Clause:

- This policy is purely Accidental Policy, which has been taken by the Company to support Workmen Compensation Policy.
- Insured name declared in the Schedule is called **Insured Person**.
- If any of the insured persons shall sustain any bodily injury resulting solely and directly from accident caused by external violent and visible means, the sum herein after set forth in respect of any of the insured person specified in the schedule.
 - ✓ The employee is provided with Insurance cover for 24 hours.
 - ✓ The Company seeks loss of wages due to accident under this cover apart from benefits on account of disability / death.



- ✓ In case of Permanent Disability, Certificate to be obtained from District Civil Surgeon, which is to be submitted along with claim and as per percentage of disability sum insured declared in the schedule will be admissible.

EXCEPTIONS OF POLICY:

- Compensation under more than one of the foregoing clauses in respect of the same period of disablement.
- Any payment in case of more than one claim under the policy during any one period of insurance by which the maximum liability of the company in that period would exceed the sum payable under of this policy.
- Payment of compensation in respect of Death, Injury or Disablement of the Insured.
 - ✓ From intentional self injury, suicide or attempted suicide.
 - ✓ While under the influences of intoxication liquor or drugs.
 - ✓ While engaging in Aviation or ballooning, whilst mounting in to, dismounting from or travelling in any balloon or aircraft other than as a passenger (fare paying or otherwise) in any duly licensed standard type of aircraft anywhere in the world.
 - ✓ Arising or resulting from the Insured committing any breach of the law with criminal intent.
- Payment of compensation in respect of death, injury or Disablement of the insured due to or arising out of or directly or indirectly connected with or traceable to war, invasion, Act of foreign enemy, Hostilities civil war, Rebellion, Revolution, Insurrection, Mutiny, Military or Usurped Power Seizure, Capture, Arrest, Restraint and Detainments of all kings, princes and people of whatsoever nation condition or quality.
- Directly or indirectly caused by or contributed to by or arising from nuclear weapons material.
- Pregnancy.



APPLIED CONDITIONS:

- Upon the happening of any event, which may give, rise to a claim under this policy written notice with full particulars must be given to the insurance company immediately. In case of death written notice also of the death must, unless reasonable cause is shown, be so given before interment cremation and in any case, within one calendar month, after the death, and in the event of loss of sight or amputation.
- Proof satisfactory to the company shall be furnished of all matters up on which a claim is based. Any medical or other agent of the company shall be allowed to examine the person of the insured on the occasion of any alleged injury or disablement when and so often as the same may reasonably be required on behalf of the Insurance Company and in the event of the death, to make a post-mortem examination of the body of the insured.
- The company shall not be liable to make any payment under this policy in respect of any claim be in any manner fraudulent or supported by any fraudulent statement or device whether by the insured or by any person on behalf of the insured.

COMPENSATION ON MINOR / FATAL ACCIDENTS AS PER WORKMEN COMPENSATION ACT + WELFARE POLICY OF COMPANY:

Scope / Coverage:

- Only for Employees working with Project site as per discretion of Management.

Key Policy- Clause:

- **NOTE:** *All Medical Expenses on injury to Contractor Labors while at work at the project site will be borne by the respective Contractors only.*
- Under Comprehensive Medical Coverage for the Employees, in case of accidents at work resulting in unfortunate death, Compensation to the dependants of the diseased employee will be provided subject to submission of bills on the discretion of Management.
- In case of Fatal Accident the Accidental Death Coverage is as per Workmen Compensation Act.



Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – XI

ENVIRONMENTAL POLICY



HR | EP - 2013-14 | 011

Objective :



- Maheshwari Mining Private Limited (MMPL) is committed to ongoing sustainable management of our environmental impacts within our facilities and operations and acting to reduce our rates of emissions, energy and waste.
- Building a clear understanding of the risks to our Group of key environmental issues and building strategic plans to address these risks.
- Developing a culture of sustainable environmental management by developing the awareness and involvement of our employees; implementing systems for environmental management; setting objectives and associated measurement systems to enable continuous improvement processes.
- Where appropriate, committed to establishing business unit-specific environment management strategies for reducing our rate of emissions, energy and waste through improvement initiatives.
- Committed to actively considering the use of alternative energy sources, and low emissions technology, as they become economically viable.
- Engaging with our suppliers, customers and joint venture partners to develop improved environmental sustainability practices.

Policy :

- At MMPL, concern for the environment is integral to our business strategy toward sustainability, and we shall strive to fulfil all our environmental obligations and commitments toward being responsible global corporate citizens.

Scope / Coverage :

- All employees of the Organization.

Responsibility :

- Board of Directors.
- It is the responsibility of senior management to ensure that this policy is implemented throughout the organization.
- It is the responsibility of the HR Department to ensure that this policy is properly maintained and up to date.
- Every employee of the Organization.

Environmental Management :

ISO 14000



The ISO 14000 family addresses various aspects of environmental management. It provides practical tools for companies and organizations looking to identify and control their environmental impact and constantly improve their environmental performance. ISO 14001:2004 and ISO 14004:2004 focus on environmental management systems. The other standards in the family focus on specific environmental aspects such as life cycle analysis, communication and auditing.

ISO 14001:2004



ISO 14001:2004 sets out the criteria for an environmental management system and can be certified to. It does not state requirements for environmental performance, but maps out a framework that a company or organization can follow to set up an effective environmental management system. It can be used by any organization regardless of its activity or sector. Using ISO 14001:2004 can provide assurance to company management and employees as well as external stakeholders that environmental impact is being measured and improved.



The benefits of using ISO 14001:2004 can include:

- ✓ Reduced cost of waste management.
- ✓ Savings in consumption of energy and materials.
- ✓ Lower distribution costs.
- ✓ Improved corporate image among regulators, customers and the public.

To fulfil the aims of this policy and support its full implementation, we will conduct our activities to ensure :

- Compliance with all environmental standards and regulations application to our operations.
- Ensure operations minimize hazards to the health, well-being of the community, personnel, and native flora and fauna.
- Avoid disturbance to known sites of archaeological, cultural, natural or scientific significance.
- Avoid pollution or unnecessary disturbance of the natural environment including land, air and water.
- Ensure that all employees and sub-contractors are aware of their environmental responsibilities through inductions and other information and training.
- Manage our operations so as not to prejudice the interests of other legitimate land users.
- Monitoring of compliance with this policy and all environmental codes of practice.

Action Plans :

We aim to fulfil our environmental commitments through the following broad - level actions:

- Meet all the environmental legislation that relates to the Company.
- Source and promote a product and services range to minimize the environmental impact of both production and distribution.



➤ Integrate energy and environmental considerations in the design of new infrastructural facilities.

➤ Improve resource efficiency in operations, especially for key resources such as energy and water.

➤ Remain committed to complying with all the applicable environmental and related legal and other requirements and, wherever feasible, enhance the prescribed standards in all the countries that we operate.

- Communicate the environmental policy to all employees and business associates and ensure that the policy is available to the public.
- Raise awareness, encourage participation and educate our workforce in environmental issues and the environmental effects of their activities.
- Adopt the “3 – R” (Reduce, Reuse and Recycle) philosophy for all types of wastes towards prevention of pollution and disposal of “inevitable” wastes, especially electronic waste, in line with regulatory requirements or industry best practice.



➤ Promote “green procurement” to the maximum extent possible.

At Maheshwari Mining Private Limited, concern for the environment is integral to our business strategy towards sustainability and we shall strive to fulfil all our environmental obligations and commitments towards being a responsible global corporate citizen.

Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – XII

PREVENTION AND REDRESSAL OF SEXUAL HARASSMENT OF WOMEN AT WORKPLACE

HR | P & RSHWAW - 2013-14 | 012



Objective:

- The purpose of this policy is to follow the Supreme court Directives and guidelines provided to all kinds of organizations to mandatorily follow it and thus to prevent sexual Harassment at workplace. The purpose of this policy is to undertake a complete investigation of the complaint/ incident reported, to provide support to victim of such harassment and to take disciplinary action against alleged under law.
- To foster a professional, open and trusting workplace.
- To ensure employees are treated fairly and equitably in an environment free of intimidation and sexual harassment.
- To make necessary and expedient for employers in work places as well as other responsible persons or institutions to observe certain guidelines to ensure the prevention of sexual harassment of women.

Policy:

- Sexual harassment is an unacceptable form of behavior which will not be tolerated under any circumstances. It is also unlawful. All complaints of sexual harassment will be treated seriously and promptly, with due regard to confidentiality. Disciplinary action will be taken against any employee who breaches the policy.
- The sexual harassment policy will be successfully applied when all staff is treated on merit by their managers, by peers, by direct reports and by all other team members.

Scope / Coverage:

- This Policy extends to all employees of the Company and is deemed to be incorporated in the service conditions of all employees.

Responsibility:

- It shall be the duty of the employer or other responsible persons in work places or other



institutions to prevent or deter the Commission of Acts of Sexual Harassment and to provide the procedures for the resolution, settlement or prosecution of Acts, of sexual harassment by taking all steps required.

- All managers and supervisors have a responsibility to:
 - ✓ Monitor the working environment to ensure acceptable standards of conduct are observed at all times.
 - ✓ Model appropriate behavior themselves.
 - ✓ Treat all complaints seriously and take immediate action to investigate and resolve the matter.
 - ✓ Refer complaints to another manager if they do not feel they are the best person to deal with the case (e.g. if there is a conflict of interest or if the complaint is particularly complex or serious).

- All employees have a responsibility to:
 - ✓ Comply with the organization's sexual harassment policy.
 - ✓ Offer support to anyone who is being harassed and let them know where they can get help and advice (they should not approach the harasser themselves).
 - ✓ Maintain complete confidentiality if they provide information during the investigation of a complaint (employees who spread gossip or rumours may expose themselves to defamation action).

Definition:

- Sexual harassment is any unwanted, unwelcome or uninvited behavior of a sexual nature which makes a person feels humiliated, intimidated or offended. Sexual harassment can take many different forms and may include physical contact, verbal comments, jokes, propositions, the displaying of offensive material or other behavior which creates a sexually tense or hostile working environment. Sexual harassment includes such unwelcome sexually determined behavior (whether directly or by implication) as:
 - ✓ Objectionable physical proximity or contact and unwelcome advances.
 - ✓ A demand or request for sexual favors.
 - ✓ Sexually colored remarks.
 - ✓ Discussion of a person's physical characteristics.
 - ✓ Showing pornography.
 - ✓ Narrating offensive jokes or sexually explicit stories.
 - ✓ Circulation or posting of offensive pictures.



- ✓ Spreading rumors or talking to third parties about an individual in a demeaning fashion.
- ✓ Any other unwelcome physical, verbal or non-verbal conduct of sexual nature.

NOTE: All the above is prohibitive through any mode of communication including in person, over the phone, on voice mail, through pen and paper, on e-mail, through chat, through SMS or any other form of communication.

- Where any of these acts is committed in circumstances where-under the victim of such conduct has a reasonable apprehension that in relation to the victim's employment or work whether she is drawing salary, or honorarium or voluntary, whether in government, public or private enterprise such conduct can be humiliating and may constitute a health and safety problem. It is discriminatory for instance when the woman has reasonable grounds to believe that her objection would disadvantage her in connection with her employment or work including recruiting or promotion or when it creates a hostile work environment. Adverse consequences might be visited if the victim does not consent to the conduct in question or raises any objection thereto.

Exceptions:

- Harassment shall not include occasional compliments or voluntary relationships between individual employees.
- However, in case of voluntary relationships, employees must ensure that the work environment is free from favouritism and the relationship does not affect work in any way.

Policy- Clause Guidelines:

- The company shall be committed to providing and maintaining an open, positive work environment, which is free from any discrimination or harassment.
- All employees must be treated with respect, dignity, and courtesy.
- There shall be no discrimination or harassment against any person on the grounds of race, color, religion, national origin, disability, age, sex, marital status, sexual orientation or citizenship.
- Any discriminatory action against full time employees, contractual employees, clients, or vendors shall be met with disciplinary action.



- Every complaint shall be promptly and thoroughly investigated and confidentiality is maintained as far as the situation would permit. Furthermore, the Company does not retaliate against any employee for bringing questionable circumstances to attention.

Preventive Steps:

All employers or persons in charge of work place whether in public or private sector should take appropriate steps to prevent sexual harassment. Without prejudice to the generality of this obligation they should take the following steps:

- Express prohibition of sexual harassment as defined above at the work place should be notified, published and circulated in appropriate ways. The employee/victim should inform the offender the behavior is offensive, unwelcome, and against company policy and should stop (only if the victim feels comfortable enough to approach them directly) and should keep a record of the incident(s).
- The Rules / Regulations of Private Sector bodies relating to conduct and discipline should include rules/regulations prohibiting sexual harassment and provide for appropriate penalties in such rules against the offender.
- When a manager investigates a complaint, he / she should determine appropriate action based on investigation and evidence collected and check to ensure the action meets the needs of the complainant and company.
- As regards private employers, steps should be taken to include the aforesaid prohibitions in the Standing Orders under the Industrial Employment (Standing Orders) Act, 1946.
- Appropriate work conditions should be provided in respect of work, leisure, health and hygiene to further ensure that there is no hostile environment towards women at work places and no employee woman should have reasonable grounds to believe that she is disadvantaged in connection with her employment.

Criminal Proceedings:

- Where such conduct amounts to a specific offence under the Indian Penal Code or under any other law, the employer shall initiate appropriate action in accordance with law by making a complaint with the appropriate authority.



- In particular, it should ensure that victims or witnesses are not victimized or discriminated against while dealing with complaints of sexual harassment. The victims of sexual harassment should have the option to seek transfer of the perpetrator or their own transfer.

Disciplinary Action:

- Where such conduct amounts to misconduct in employment as defined by the relevant service rules, appropriate disciplinary action should be initiated by the employer in accordance with those rules. Appropriate disciplinary action will be taken against anyone in this company's employment who is found to have sexually harassed a co-worker. Depending on the severity of the case, consequences can include an apology, counselling, transfer, dismissal, demotion or other forms of disciplinary action. Immediate disciplinary action will also be taken against anyone who victimizes or retaliates against a person who has complained of sexual harassment.
- If the offensive behavior continues or if the employee feels uncomfortable in confronting the offender, the situation needs to be brought to the attention of the manager or the Grievance Redressed Committee. A thorough investigation of the case and necessary action shall be taken. It shall be ensured that the case is kept confidential both internally as well as externally.
- If an employee hears about or observes a possible harassment or discrimination, the employee is accountable to report the situation to the Grievance Redressal Committee / Complaints Committee. The employee's identity will be kept confidential. To maintain confidentiality, employees should not confer with anyone else at the company about the situation. All complaints of discrimination or harassment are serious and appropriate investigation of complaints will be conducted.
- The Grievance Redressal Committee / Complaints Committee shall spearhead the investigation. The questions asked during an investigation shall be focused on what occurred during the incident, including specifics about what happened, who said what, who was present, venue, time and what happened before the incident. After all the facts have been analysed a determination shall be made and appropriate corrective action will be taken.

Corrective action shall depend upon the nature and intensity of the situation and may include counselling or termination of employment.

- After completion of an investigation, the concerned parties shall be informed of the decision taken.



Complaint Mechanism:

- Whether or not such conduct constitutes an offence under law or a breach of the service rules, an appropriate complaint mechanism should be created in the employer's Organization for redressal of the complaint made by the victim. Such complaint mechanism should ensure time bound treatment of complaints. A mail Id shall be separately created by the IT Department for the Grievance Redressal Committee, wherein mails regarding complaints or grievance will directly reach the Committee members. The employees can also call to the following phone numbers in case of any complaint or grievance for direct approach to the Committee members:
 - Ms. Sheuley Sarkar (Manager, HR) : +91 9330695958
 - Mr. D.K. Basu (V.P. - MINOP) : +91 9874703191

Grievance Redressal Committee / Complaints Committee:

- In order to resolve all cases related to Workplace Harassment or Discrimination, setting up a Complaints Committee would be set up on which the Corporate HR will be represented. The complaint mechanism, referred to above, should be adequate to provide, where necessary, a Complaints Committee, a special counsellor or other support service, including the maintenance of confidentiality.
- The Complaints Committee should be headed by a woman and not less than half of its member should be women. The senior members in the Committee will include Mr. S. Adhikari (GM, Mechanical), Ms. Sneha Agarwala (CA, Manager F & A) and Ms. Sheuley Sarkar (Manager HR). Further, to prevent the possibility of any undue pressure or influence from senior levels, such Complaints Committee should involve a third party, either NGO or other body who is familiar with the issue of sexual harassment.
- Confidentiality of the complaint procedure shall be maintained.
- Complainants or witnesses shall not be victimized or discriminated against while dealing with complaints.
- The Complaints Committee shall make an annual report to the Management Committee of the organization of complaints received and the action taken by them.
- The employers and person in charge will also report on the compliance with the aforesaid guidelines including on the reports of the Complaints Committee to the Government department.



NOTE: These have been extracted from the Supreme Court of India Guidelines on Sexual Harassment, August 1997; the same can be referred to for further details.

Worker's Initiative:

- Employees should be allowed to raise issues of sexual harassment at a workers' meeting and in other appropriate forum and it should be affirmatively discussed in Employer Employee Meetings.

Awareness:

All the Employees, especially female members should be given education about the issue and promote a healthy discussion of the policy.

Sexual Harassment Awareness Training:

- The setting up of a complaints committee and an anti-sexual harassment policy lays a strong foundation for a sexual harassment free workplace. However, effective training programmes are essential to sensitize / train all the staff members, men and women, to recognize sexual harassment, deal with it when it occurs and prevent it. The training programme is the best way to ensure proper understanding and implementation of the policy. It is the best forum to communicate to employees what behavior is acceptable and what is not, in a non-threatening atmosphere of mutual learning. Training for the members of the Complaints Committee and others who are going to be instrumental in implementing the policy, is very essential. Their training should include a component of gender sensitization, along with the procedures for taking complaints, and for enquiry, etc.
- Conducting yearly meetings with the Head of Departments to review the sexual harassment policy, and to make sure that they understand that an employee does not need to suffer negative consequences in order to make a complaint of sexual harassment. The employees should be informed that even mild to moderate sexual jokes or statements can create an atmosphere of hostility that will make some employees uncomfortable, and could lead to the creation of a hostile work environment.
- Sexual harassment training for all employees should address perceptions and understanding of sexual harassment, impact of sexual harassment on individuals and workplace, understanding the policy and complaints mechanism. The training for Complaints Committee should address, in addition to these, the procedures of investigation, skills necessary for



enquiries, documenting the procedures. Awareness of the rights of female employees in this regard should be created in particular by prominently notifying the guidelines (and appropriate legislation when enacted on the subject) in a suitable manner.

Third Party Harassment:

- Where sexual harassment occurs as a result of an act or omission by any third party or outsider, the employer and person in charge will take all steps necessary and reasonable to assist the affected person in terms of support and preventive action.



Laws for Prevention of Sexual Harassment of Women at Workplace

❖ THE SEXUAL HARASSMENT OF WOMEN AT WORK PLACE (PREVENTION, PROHIBITION AND REDRESSAL) BILL, 2006

Preamble:

- A Bill conferring upon Women the Right to Protection against Sexual Harassment and to protect the Right to Livelihood and towards that end for the prevention and redressal of Sexual Harassment of Women.
- Whereas Sexual Harassment infringes the Fundamental Right of a woman to gender equality under Article 14 of the Constitution of India and her Right to life and live with dignity under Article 21 of the Constitution which includes a Right to a safe environment free from Sexual Harassment.
- And Whereas the Right to protection from Sexual Harassment and the Right to work with dignity are recognized as universal human rights by international conventions and instruments such as Convention on the Elimination of all Forms of Discrimination against Women (CEDAW), which has been ratified by the Government of India.

Penalties:

- In any action under section 7, the aggrieved woman may submit an authorized or certified report of the Internal Complaints Committee or the Local Complaints Committee, and if that records a finding that sexual harassment did take place, and that report has become final, the Court or forum shall proceed to award compensation without requiring the person aggrieved to establish her claim of Sexual Harassment.
- Provided further that the court may for reasons impose a fine of not less than Rs.10, 000/- on any workplace which has failed to constitute an internal complaints committee or opted to have been governed by the local complaints committee or failed to initiate action within a reasonable time on the complaint referred to it alleging sexual harassment or failed to comply with any orders passed by the district officer under this Act



❖ THE PROTECTION OF WOMEN AGAINST SEXUAL HARASSMENT AT WORK PLACE BILL, 2010

Highlights of the bill:

- India has signed and ratified the Convention on the Elimination of all Forms of Discrimination against Women (CEDAW). However, India does not have a specific law to address the issue of sexual harassment of women at the place of work. Currently, the Indian Penal Code (IPC) covers criminal acts that outrage or insult the 'modesty' of women. It does not cover situations which could create a hostile or difficult environment for women at the work place.
- In 1997 as part of the Vishaka judgment, the Supreme Court drew upon the CEDAW and laid down specific guidelines on the prevention of sexual harassment of women at the work place. The Vishaka guidelines defined sexual harassment and codified preventive measures and redressal mechanisms to be undertaken by employers.
- A draft Bill was circulated by the Ministry of Women and Child Development for public feedback in 2007. The current Bill establishes a framework to be followed by all employers to address the issue of sexual harassment.

Penalties and appeal:

- If the allegation is proved, the Committee shall recommend penalties for sexual harassment as per service rules applicable or the Rules under the Act. In addition, it may provide for monetary compensation to the complainant.
- If the allegation is proved to be false or malicious, the Committee may recommend action against the complainant. However, action may not be taken against a complainant merely on the inability to substantiate a complaint or provide adequate proof.
- Appeals against the recommendations of either Committee shall lie with the courts.
- Penalties have also been prescribed for employers who fail to comply with the provisions of the Act. Non-compliance shall be punishable with a fine of up to Rs 50,000. Repeated violations may lead to higher penalties and cancellation of license or registration required for carrying on the business.



- ❖ **THE BILL ON THE SEXUAL HARASSMENT AT THE WORKPLACE [THE SEXUAL HARASSMENT OF WOMEN AT WORKPLACE (PREVENTION, PROHIBITION AND REDRESSAL) BILL, 2012] GOT PASSED BY THE LOK SABHA ON 3rd SEPTEMBER, 2012 WITH AMENDMENTS.**

- ❖ It has been held that all employers should take appropriate step to prevent sexual harassment: (a) the prohibition of sexual harassment should be notified published and circulated in appropriate ways. (b) The rules/regulation of government of public sector bodies should included rules prohibiting sexual harassment and provide for appropriate penalties. (c) As regard private employees steps should be taken to include the prohibition in this standing order under the **INDUSTRIAL EMPLOYMENT (STANDING ORDERS) ACT, 1946.**

- ❖ **THE PROTECTION OF HUMAN RIGHTS ACT, 1993**

(Act No. 10 of 1994)
 - It extends to the whole of India and it shall be deemed to have come in to force on the 28th day of September 1993.
 - An act to provide for the constitution of a National Human Rights Commission, State Human Rights Commissions in States and Human Rights Courts for better protections of human rights and for matters connected therewith or incidental thereto.
 - The employer has been directed to initiate criminal action by making a complaint in cases where specific offence of sexual harassment has taken place. He is also required to initiate disciplinary action. The guidelines of the Act are in addition to rights available to women under the Protection of Human Rights Act, 1993.

- ❖ In order to eliminate sexual harassment at the working place, the Employer shall follow a Code of Good Conduct, published in terms of the powers granted by the Basic Conditions of **EMPLOYMENT ACT (ACT 75 OF 1997).**

❖ **THE INDIAN MEDICAL COUNCIL OF INDIA ACT, 1956**

- The following item shall be added as Section 33(o) to The Indian Medical Council of India Act, 1956.

“Protection against Sexual Harassment”.

- The following item shall be added as Section 20A (3) to the Indian Medical Council of India Act, 1956.

“Any form of Sexual Harassment shall also be included in this definition”.

- The following shall be added as explanation to Section 7(4) of The Indian Medical Council (Professional Conduct Etiquette and Ethics) Regulations, 2002

“Explanation: any form of Sexual harassment shall be to be an improper Conduct”

❖ **NATIONAL COMMISSION FOR WOMEN ACT, 1990**

- In an effort to promote the well being of all women employees at the work place a certain Code of Conduct has been prescribed. According to the Code of Conduct, it shall be the duty of the employer to prevent or deter the commission of any act of sexual harassment at the work place.

- Sexual harassment includes unwelcome sexually determined behavior by any person either individually or in association with other persons or by any person in authority whether directly or by implication such as eve-teasing, unsavory remarks, jokes causing or likely to cause awkwardness or embarrassment, innuendos and taunts, gender based insults or sexist remarks, unwelcome sexual overtone in any manner over the telephone, touching or brushing against any part of the body and the like, displaying pornographic or other offensive or derogatory pictures, cartoons, pamphlets or sayings, forcible physical touch or molestation, physical confinement against one’s will and any other act likely to violate one’s privacy. It includes any act or conduct by a person in authority and belonging to one sex which denies or would deny equal opportunity in pursuit of career development or otherwise making the environment at the work place hostile or intimidating to a person belonging to the other sex.

Penalties:

- **Sub-section 7:** The Commission shall be deemed to be a civil court for the purposes of any offence as is described in Section 175, Section 178, Section 179, Section 180 or Section 228 of the Indian Penal Code and if any offence is committed in the view or presence of the Commission, the Commission may, after recording the facts constituting the offence and the statement of the accused as provided for in the Code of Criminal Procedure, 1973, forward the case to a Magistrate having jurisdiction to try the same.

❖ **PROTECTION AGAINST SEXUAL HARASSMENT OF WOMEN BILL, 2005**

Preamble:

- A Bill conferring upon women the right to protection against sexual harassment and towards that end for the prevention and redressal of sexual harassment of women.
- Sexual Harassment infringes the fundamental right of a woman to gender equality under Article 14 of the Constitution of India and her right to life and live with dignity under Article 21 of the Constitution which includes a right to a safe environment free from sexual harassment.

Penalty:

- Irrespective of whether the complainant opts to initiate criminal proceedings under the Indian Penal Code, the Special Officer / Local Officer / Member of the Committee and the Complaints Committees shall be bound to initiate and conduct proceedings as laid out under this Act.

❖ **THE SEXUAL HARASSMENT OF WOMEN AT WORKPLACE (PREVENTION, PROHIBITION AND REDRESSAL) ACT, 2013 (“SEXUAL HARASSMENT ACT”) HAS BEEN MADE EFFECTIVE ON APRIL 23, 2013 BY WAY OF PUBLICATION IN THE GAZETTE OF INDIA.**

Scope:

- The ambit of the Sexual Harassment Act is very wide and is applicable to the organized sector as well as the unorganized sector. In view of the wide definition of ‘workplace’, the statute, inter alia, applies to government bodies, private and public sector organizations, non-governmental organizations, organizations carrying on commercial, vocational, educational, entertainment, industrial, financial activities, hospitals and nursing homes, educational institutes, sports institutions and stadiums used for training individuals. As per the Sexual Harassment Act, a workplace also covers within its scope places visited by employees during the course of employment or for reasons arising out of employment - including transportation provided by the employer for the purpose of commuting to and from the place of employment.

Internal Complaints Committee and Local Complaints Committee:

- The Sexual Harassment Act requires an employer to set up an ‘Internal Complaints Committee’ (“ICC”) at each office or branch, of an organization employing at least 10 employees. The government is in turn required to set up a ‘Local Complaints Committees’ (“LCC”) at the district level to investigate complaints regarding sexual harassment from establishments where the ICC has not been constituted on account of the establishment having less than 10 employees or if the complaint is against the employer. The Sexual Harassment Act also sets out the constitution of the committees, process to be followed for making a complaint and inquiring into the complaint in a time bound manner.
- The ICC also needs to involve a member from “amongst non-governmental organizations or associations committed to the cause of women or who have had experience in social work or have legal knowledge. The members of the ICC have to be replaced every 3 years.
- If an employer fails to constitute an Internal Complaints Committee or does not comply with any provisions contained therein, the Sexual Harassment Act prescribes a monetary penalty of up to INR 50,000 (approx. US\$1,000). A repetition of the same offence could result in the punishment being doubled and / or de-registration of the entity or revocation of any statutory business licenses.

Interim Reliefs:

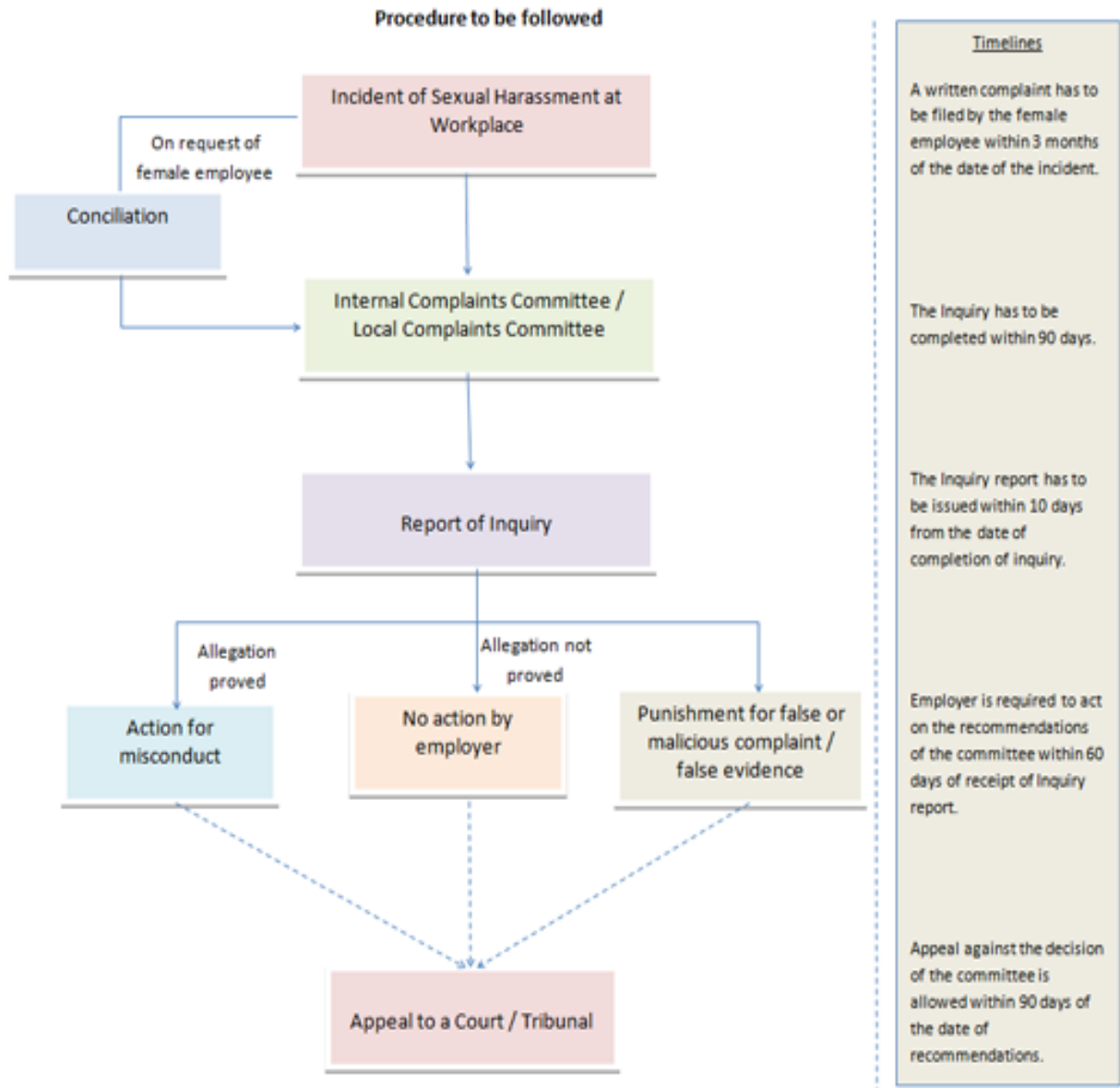
- The Sexual Harassment Act empowers the ICC and the LCC to recommend to the employer, at the request of the aggrieved employee, interim measures such as (i) transfer of the aggrieved woman or the respondent to any other workplace; or (ii) granting leave to the aggrieved woman up to a period of 3 months in addition to her regular statutory/ contractual leave entitlement.



Process for Complaint and Inquiry:

- Please refer to the following flowchart which provides, in brief, the process to be followed by the aggrieved employee to make the complaint and by the employer to inquire into the complaint. The law allows female employees to request for conciliation in order to settle the matter although a monetary settlement should not be made as a basis of conciliation.

India: Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013



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Penalty:

- As a result of the growing importance of the issues relating to sexual harassment and protection of female employees in India, a new section was added to the Indian Penal Code, 1860 through the Criminal Law (Amendment) Act, 2013, which enlists the acts which constitute the offence of sexual harassment and further envisages penalty / punishment for such acts. A man committing an offence under this section is punishable with imprisonment, the term of which may range between 1 - 3 years or with fine or both. Since the amendment criminalizes all acts of sexual harassment, employers shall be required to report any offences of sexual harassment to the appropriate authorities.
- In case the allegation has been proved, the Sexual Harassment Act allows the ICC to recommend to the employer to deduct from the respondent's salary such sums it may consider appropriate to be paid to the aggrieved woman.

CHAPTER – XIII

WHISTLE BLOWER POLICY

HR | WBP - 2013-14 | 013



Objective:

- Maheshwari Mining Private Limited (MMPL) is committed to high standards of ethical, moral and legal business conduct. In line with this commitment, and MMPL's commitment to open communication, this policy aims to provide an avenue for employees to share areas of concern observed by any employee.

Definition:

- **"Whistleblower"** - an employee of the University who reports in good faith an activity that he/she reasonably considers to be immoral, unethical, illegal, fraudulent or in direct violation of MMPL policies, including the MMPL's stated policy on Human Rights, Values and Ethics. **The Whistleblower's Role** is that of a reporting party, with reliable information. His / her role is simply to "Raise the Alarm".

Policy:

- An employee who observes an unethical or improper practice (not necessarily a violation of law) shall be able to approach the Concerned Authority or Competent Authority without necessarily informing their supervisors for necessary corrective action.
- The Company will ensure that such employee, who approaches the concerned Authority to inform unethical or improper practices, if any, shall not be terminated unfairly.
- The Company shall annually inform that it has not denied any employee access to its Board of Directors (in respect of matters involving alleged misconduct) and it has provided protection to such employees called as "whistle blowers" from unfair termination and other unfair or prejudicial employment practices.
- The above such affirmation shall form a part of the Director Report on Corporate Governance, to be prepared along with the Annual Report.



Scope / Coverage:

- This Policy is applicable to all regular employees of the Company.
- Accounting and Auditing Matters, including:
 - ✓ Fraud or deliberate error in the preparation, evaluation, review or audit of any financial statement of the Organization.
 - ✓ Fraud or deliberate error in the recording and maintaining of financial records.
 - ✓ Deficiencies in compliance with the Organization's internal accounting controls.
 - ✓ Misrepresentation or false statements to or by a senior officer, employee or accountant regarding a matter contained in financial records, financial reports or audit reports.
 - ✓ Deviations from full and fair reporting of the Organization's financial position.
 - ✓ Any fraud or violation of law relating to acts of financial misconduct.
- Embezzlement / Fraud (to appropriate improperly for one's own use money or property, including the misapplication of funds, mishandling of cash and book keeping errors).
- Falsification of Contracts, Reports or Records (including altering, fabricating, falsifying, or forging all or any parts of a document, contract, or record).
- Improper Supplier or Contractor Activity (including an improper negotiation or diversion or illegal activity with respect to supplier or contractor awards).
- Theft
- Inappropriate Use of Resources (including use of resources such as cash, food, commodities, materials for purposes other than those for which they have been intended).
- Other illegal or criminal use of Agency property or assets.
- Kickbacks, bribery or the paying or giving of anything of value to a government official directly or indirectly for the purpose of securing an improper advantage.
- Any form of Misconduct / Harassment.

Responsibility:

- Board of Directors



- The Complaints handling Committee in the Organization
- The Concerned HOD
- IT Department for establishment of Hotline / Email system and monitoring of complaints received.
- Each Employee

Exceptions:

- Any matter which is an individual employee grievance relating to the terms and conditions of employment are to be reported to the relevant HR Department.

Policy- Clause Guidelines:

- If an employee has knowledge of, or a good faith concern about, any illegal, dishonest or fraudulent activity, misconduct, wrongdoing, financial irregularities, or policy violations, the employee should contact his / her immediate supervisor or the Head of Department or the Competent Authority. Examples of activities include embezzlement, false claims, and inappropriate expenditures, falsification of documents, fraud, and misconduct.
- As an alternative, an employee may utilize MMPL's "Hotline" and Email system to anonymously report such knowledge or concerns. The hotline and email system shall be monitored by the trusted responsible person chosen by MD along with MD. The confidentiality of the complaints and grievances should be maintained. No other employee shall have an access to it.
- An in-house complaints handling Committee shall be established in the Company, wherein employees can directly approach the Committee Members for their grievances / complaints. The Committee shall include the following members:
 - i. Mr. S. Adhikari (GM – Mechanical)
 - ii. Mr. Mantu Sultania (Statutory Auditor - F & A).
 - iii. Ms. Sheuley Sarkar (Manager, HR).
 - iv. Ms. Sneha Agarwala (Manager, F & A).



- The employee who elects to act as a whistleblower is not responsible for investigating the activity or for determining fault or corrective measures. Supervisors and managers are required to report suspected violations to the Head of Departments concerned and the Board of Directors. The suspected violation will then be reported to the individual(s) in the Organization who has specific and exclusive responsibility for investigating all reported violations.
- Insofar as possible, the confidentiality of the whistleblower will be maintained; however, the identity of the individual may need to be disclosed in the course of the investigation or to comply with the law.
- MMPL will not retaliate against a whistleblower, including adverse employment actions. The right of a whistleblower for protection against retaliation does not include immunity for any personal wrongdoing that is alleged and investigated. Supervisors / concerned authority shall ensure that employees are not discharged, demoted, suspended, threatened, harassed, discriminated or otherwise retaliated against for the making of a report in good faith under this policy.
- Protected Disclosures should preferably be reported in writing so as to ensure a clear understanding of the issues raised and should either be typed out or written in a legible handwriting in English, Hindi, regional language of the Whistle Blower's place of employment.
- Protected Disclosures should be factual and not speculative or in the nature of a conclusion, and should contain as much specific information as possible to allow for proper assessment of the nature and extent of the concern.
- The allegation is supported by information specific enough to be investigated or in cases where the allegation is not supported by specific information, it is felt that the concerned matter is worthy of management review. Provided that such investigation should not be undertaken as an investigation of an improper or unethical activity or conduct.
- An employee who intentionally files a false report of wrongdoing will be subject to discipline as per the corrective action policy up to and including termination.



Disqualification:

The following instances would constitute a violation of the Whistleblower Policy:

- Bringing to light personal matters regarding another person, which are in no way connected to the Organization.
- Reporting information which, he/ she does not have an authorization to access.
- While it will be ensured that genuine Whistle Blowers are accorded complete protection from any kind of unfair treatment as herein set out, any abuse of this protection will warrant disciplinary action and would be taken up with utmost sternness. The violations would be investigated and dealt with strict action.
- Protection under this Policy would not mean protection from disciplinary action arising out of false or bogus allegations made by a Whistle Blower knowing it to be false or bogus or with a mala fide intention.
- Whistle Blowers, who make any Protected Disclosures, which have been subsequently found to be mala fide or malicious or Whistle Blowers who make 3 or more Protected Disclosures, which have been subsequently found to be frivolous, baseless or reported otherwise than in good faith, will be disqualified from reporting further Protected Disclosures under this Policy.
- Actions against such violations could range in their severity, if necessary even extending up to termination of one's employment / contract / association with the Organization.

Protection for Whistleblowers:

- The Complaints handling Committee shall be responsible to ensure that the identity of the Whistle Blower is kept strictly confidential. However, in situations where the information provided may lead to uncovering some major issues, which are legal / criminal in nature the informer's identity may have to be produced before the Police Authorities or in a Court of Law. In such cases, the above are responsible for ensuring that the identity of the whistleblower/s are produced only to the relevant authorities and to no one else.
- No unfair treatment will be meted out to a Whistle Blower by virtue of his / her having reported a Protected Disclosure under this Policy. The Company, as a policy, condemns any



kind of discrimination, harassment, victimization or any other unfair employment practice being adopted against Whistle Blowers. Complete protection will, therefore be given to Whistle Blowers against any unfair practices like retaliation, threat or intimidation of termination / suspension of service, disciplinary action, transfer, demotion, refusal of promotion, or the like including any direct or indirect use of authority to obstruct the Whistle Blower's right to continue to perform his / her duties and functions including making further Protected Disclosure. The Company will take steps to minimize difficulties, which the Whistle Blower may experience as a result of making the Protected Disclosure. Thus, if the whistle Blower is required to give evidence in criminal or disciplinary proceedings, the Company will arrange for the Whistle Blower to receive advice about the procedure, etc.

- Whistleblowers are encouraged to immediately report any acts of retribution that have happened to them, due to the fact that they had made a disclosure of information.
- A Whistle Blower may report any violation of the above clause to the complaints handling Committee members who shall investigate into the same and recommend suitable action to the management.
- Any other employee assisting in the said investigation shall also be protected to the same extent as the Whistle Blower.

Retention of Documents:

- All Protected Disclosures in writing or documented along with the results of investigation relating thereto shall be retained by the Company for a minimum period of eight years.

Communication of the Policy:

- MMPL would communicate the policy across all the members of the Organization using various channels and media of communication, to ensure that all members understand the intent and modus operandi of this policy.



Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – XIV

TRANSFER POLICY

HR | TP - 2013-14 | 014



Objective:

- To relocate or reassign the services of the employee or trainee from one project to other or to any of its subsidiary or JV Companies or from one location to other, or from one department to other etc.

Policy:

- This Policy shall include the norms and all related regulations to be followed by the Organization and the employees in case of transfer of any employee from one Department / Location / Project / Group of the Organization or its JV or its Subsidiary Companies.

Scope / Coverage:

- This Policy is applicable to all regular employees of the Company.

Responsibility:

- Request of Transfer – Concerned HOD.
- Approval of Transfer – Corporate HR and / Board of Directors.
- Other related Activities – Corporate HR.

Policy- Clause Guidelines:

TRANSFERS BETWEEN DEPARTMENTS OR FUNCTIONS

- **Transfer:** - A transfer is a change from one department / location / Project / Group of the Organization to another, to a position of the same level / salary grade or to a position of a lower salary level / grade / JV / Subsidiary.
- All the appointment letters, at all levels, in our Organization consists of “transfer” Clause.

- Transfers between different Departments and / or Functions in the same office / project sites / Locations at the discretion of the Management shall be covered under this head. If an employee fails to join at the site as to where the employee is transferred on the date so mentioned, then the employee will be given a maximum grace period of Seven (7) days to join. If the employee fails to do so or if he / she does not join at all; in both of the cases, his / her case shall be treated as leaving the Company without mandatory 30 days of notice and his / her final account shall be prepared for termination. In case of leaving the Company without 30 days notice or less, the employee will have to pay for one month's salary in lieu thereof.
- No Transfer shall take place without prior decision of the Management with intimation to the concerned employee well in time.
- The receiving division should have a vacancy, which will suit to the incumbent's exposure and profile.
- All Transfers shall be made strictly using the prescribed **Transfer Requisition Letter** Format. The letter will be filled in by Transferring Department / Functional Head by giving details about employee regarding his qualification, salary, level etc., reason of transfer, his present duties and responsibilities, etc. in the format duly signed by the Board of Directors and will send to the HRM department. Then HRM department will give its comments and send the said format to the Unit where the transfer is to be affected after getting the confirmation from Board of Directors. HRM will issue the transfer orders.
- Transfer letter in writing shall be issued by the HRM Head after concluding the date of transfer.
- For all retiral liabilities, in case of transfer to JV / Subsidiary Company, towards Gratuity, Superannuation (wherever applicable the closing balances will be transferred to the new Unit and thereafter new Unit will take care of these liabilities), the transferee unit will complete the formalities of transfer of Gratuity, Superannuation.
- Transfer of an employee from one department to another also requires the transfer to the new department of accumulated vacation and sick leave allowances earned in the previous department.
- P.F. will be transferred to new unit, where the employee is transferred.
- All Leaves and Advances / Loans will be balanced as on date of transfer to new Unit and thereafter, new unit will take care of all future liabilities from his / her original date of



joining. The transferee unit will provide all the details to transferred unit.

- For all purposes, his / her date of joining in our Group will prevail for determining any seniority etc.
- In all cases personal file etc. will be maintained at new place only.

Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

CHAPTER – XV

SEPARATION AND FULL AND FINAL SETTLEMENT

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OBJECTIVE:

- The objective of Separation Policy is to ensure smooth separation or depart of the Employees from the organizational works.

POLICY:

- There are many reasons for which an employee may choose or be required to leave employment with MMPL. This policy describes the general categories of separation, (excluding the involuntary termination of employment), and outlines procedures to be followed.

SCOPE / COVERAGE:

- This policy applies to all regular, contractual and temporary employees of the Company.

RESPONSIBILITY:

- Final Discussions with Resigned Employee – Corporate HR / Site HR
- Acceptance of Resignation – HR Head
- Other tasks - Corporate HR / Site HR

POLICY- CLAUSE GUIDELINES:

- An Employee is separated from his or her services with the Company due to the following reasons:
 - i. Resignation
 - ii. Job Abandonment
 - iii. Disability Retirement
 - iv. Termination
 - v. Death



RESIGNATION:

- A resignation is an oral or written statement by an employee of intent to voluntarily terminate employment with the Organization. An employee planning to resign is expected to submit a written notice of resignation to the immediate superior / HOD or the HR Department specifying the last day of employment and the reason for leaving. If the employee resigns orally and does not submit a written resignation, then the immediate superior shall prepare a memorandum, including the last day of work and reason for resignation, to the HR Department. In either case, the reporting superior or the HOD shall immediately notify the HR Department of the resignation.
- Pro-rata benefits and perquisites will also be available to all employees on separation.
- When the resignation has been accepted by Department / Functional / Unit Head, but requires final discussions with the Resigned Employee, Corporate HR / Site HR shall undertake the Final Talks.
- Resignation Acceptance Letter shall indicate the date of relieving and advising him or her to return and handover the Company properties or document(s) if any.
- Full and Final settlement is subject to submission of **No Dues Certificate** duly signed by respective HOD / HR.

JOB ABANDONMENT:

- An employee who does not report to work for **08 (Eight)** consecutive workdays, does not notify the reporting authority / HOD / HR Department of the extent and cause of the absence and provide supporting documentation as required by this policy, will be considered to have abandoned his or her employment. Job abandonment is a voluntary resignation without notice and precludes the employee from future employment with the Organization.
- The HR Department shall prepare and send a written notice via mail to the employee. The notice shall advise the employee that he or she has abandoned his or her position and, therefore, has voluntarily resigned from employment. The notice also shall indicate the effective date of the resignation. The effective date shall be the last day the employee was at work or on approved leave, whichever last occurred.



DISABILITY RETIREMENT – REGULAR AND ACCIDENTAL:

- An employee who has been diagnosed as unable to continue employment or unable to perform the job duties due to an illness or medical condition may apply for disability retirement.
- An employee who believes he or she may be eligible for disability retirement should contact the human resources for the appropriate procedures. Applications for disability retirement resulting from a terminal illness generally will be processed immediately by the State Retirement and Pension System.
- An employee who has been diagnosed as unable to continue employment or to perform the essential job duties of his or her position due to an accidental on-the-job injury may apply for accidental disability retirement.
- There is no service requirement for accidental disability benefits. An employee who believes he or she may be eligible for accidental disability should contact the human resources for necessary procedures.

TERMINATION:

- An employee's service can be terminated by giving one month's written notice or by paying one month's salary in lieu thereof anytime after completion of probation period at the sole discretion of the management.
- In case of serious misdemeanour, questionable integrity and moral turpitude or false or incorrect information or if an employee is found guilty of any other criminal offence, his service can be terminated immediately without a notice period and he would not be entitled to any compensation in lieu of notice as well as any payment or long term benefits due to him.
- The company may also terminate an employee's service by giving 24 hours notice during his probation period based on unsatisfactory performance without any compensation.
- An employee may also leave the company by submitting his resignation and a three month's written notice or one month's salary in lieu thereof. However, the management may relieve him at any date upon submission of his resignation as per its own exclusive discretion; but the same cannot be claimed by the employee as his matter of right to leave early after resignation.



- The employee shall return all the Company's property and other materials entrusted upon him for the discharge of his duties, on severance of his service with the Company and before finalisation of his dues.
- Termination of service of regular Employee is made on the grounds of Long Absenteeism and / or any Intense Disciplinary Action(s).
- In case of Termination due to violation of Discipline, the concerned employee can be relieved on the very same day. All the following are processes are undertaken on the same day:
 - i. Full and Final Settlement dues cleared
 - ii. Full and Final Settlement cheque handed over
 - iii. All Legal dues paid without making any Notice period recovery
- All the Notices as per applicable Standing Orders shall be sent in the name of the concerned Employee through the HR head. Third and Final Notice issued by Corporate HR / Site HR and sent through registered A/D or mail on 30th day of absenteeism.
- Full and Final settlement is subject to submission of No Dues Certificate duly signed by respective HO.

SEPARATION DUE TO DEATH:

- On account of Death of the Employee, all processes are followed describing No Dues Clearance, Superannuation Fund Scheme and Full and Final Settlement.
- Cheque of dues and others is paid to the declared nominee(s) of the Employee.

FULL AND FINAL SETTLEMENT:

- For processing Full and Final Settlement, following aspects are thoroughly checked and calculated:



- i. Accumulated Leave as on date for calculating payments to be made.
 - ii. Years of Continued Service of more than **Five Years** for Gratuity Amount.
 - iii. Information in No Dues Clearance Form for any Loan Recovery or Salary Payable.
- Employee whose No Dues Clearance is not cleared due to various reasons, his / her Full and Final Settlement is kept pending. After clearing all the dues, his / her Full and Final Settlement is processed.
 - In case, an Employee wants to be relieved early before completion of his / her specified Notice Period, Notice Pay is recovered from his or her Settlement Amount. All legal dues as per the normal resignation are given to the Employee.

GRATUITY:

- As per the Gratuity Act, 1972 an employee who completes 5 years or more continuous service or either resigns or retires or services terminated or dismissed or discharged are liable to be paid Gratuity at the rate of 15 days Basic salary for each completed year of service to a maximum of Rs. 3, 50,000.00 or 20 months' salary whichever is less.
- For the purpose of gratuity one month consists of **30 days**. The payment towards Gratuity is payable to all the employees.

DISQUALIFICATION AND FORFEITURE:

- The gratuity of an employee, whose services have been terminated for any act, willful omission or negligence causing any damage or loss to or destruction of property belonging to the Company, shall be forfeited to the extent of the damage of the loss.
- The gratuity payable to an employee can be wholly forfeited if:
 - i. The services of such employee have been terminated for riotous or disorderly conduct or any other act of violation on his part.



- ii. The services of such employee have been terminated for any act, which constitutes an offence involving moral turpitude; provided that he commits such offence during the course of his employment.

STATUTORY DEDUCTION OF INCOME TAX:

- The company shall deduct from the gross amount of Gratuity to which the employee is entitled, any income tax, super tax or any statutory tax, which the employee is liable to pay, and shall pay to the employee the net amount after deduction.

PROVIDENT FUND:

- All employees are covered under the Employees Provident Fund and Miscellaneous Provisions Act, 1952 and shall contribute 12% of Basic salary per month or as fixed under the said Act from time to time. The Company shall make a matching contribution. Contributions to the Fund commence with effect from the date of joining of the employee.
- As per the provisions of the Employees Provident Fund Act 1952, employees may apply for a loan against their accumulated Provident Fund balance for the following purposes:
 - ✓ Housing
 - ✓ Illness
 - ✓ Marriage
 - ✓ Education
 - ✓ Natural Calamities
- For Transferring and / or Withdrawing the PF Amount, Employee has the option to fill the respective Forms available with Corporate HR / Site HR and submit the same with HR.

RETIREMENT POLICY FOR REGULAR EMPLOYEES:

- Every employee will retire from the services from the company on attaining the age of superannuation i.e. **58 years**, as per the date of birth recorded in the Company's records.



- The management may at its sole discretion grant annual extension beyond the age of superannuation in case of the Company desires to avail the services of the retired employee. Alternatively he can be engaged on annual contract basis either on per diem (per day) allowance or fixed monthly remuneration on mutually agreed terms and conditions. The person will not be entitled to any long-term benefits.
- The above is subject to job requirement, satisfactory service and continuing good health of the employee. The authority to approve such extension(s) will rest with the Board of Directors.
- Corporate HR will intimate to the concerned retiring employee **one (1) month** in advance through respective Reporting officer / HOD.
- During the above intervening period, the employee will be required to obtain necessary clearance from all concerned departments. The HR and Accounts Department will prepare employee's full and final settlement such as salary, balance of leave and medical reimbursement encashment, if any, for settling the employee's dues timely.
- Retirement cases of the officers of the level of GM and above will be put up to the Director prior to the intimation to the concerned employee.
- Cases of existing employees over the age of superannuation shall be subject to discretion of the Management.



Interpretation

Should any dispute or doubt arise as to the interpretation of these rules, the decision of the Board of Directors will be final.

Changes and Modifications

The Company reserves the Right to add / delete / modify any of the above detailed terms and clauses and subsequently the related modifications shall be intimated to the employees.

The Format for Full and Final Settlement Statement is mentioned below:



MAHESHWARI MINING PVT LTD.
21, C.L.M Lane Raniganj, West Bengal
Statement for Full & Final Settlement

Employee Details :

NAME	
DESIGNATION	
DEPT.	
D.O.J	
Site Name	
D.O.L	
Reason for Leaving	
Resignation Letter Received & Sanctioned By	
Pay Days	

Earnings Details :

	Amount Payable
1. Basic Salary	
2. HRA	
3. Conveyance	
4. Medical Allowance	
5. L.T.C.	
6. Uniform Allowance	
7. Remote Area/Under Ground Allowance	
8. Production Allowance	
9. Executive Allowance	
10. Mobile/Data Card/Laptop Allowance	

Total Earnings	0.00
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Deductions Details :

1. P.F.	0
2. Professional Tax	0
4. LWF	0
5. Income Tax / TDS	0
6. Advance / Loan	0
7. Other Deductions	0
8. Notice Period	30 days

Total Deductions	0
Net Payable Amount in Rs.	0.00

Net Amount in words:

Prepared By

Authorised By

NOTE- As per company policy you have not served 30 days notice period. So salary of December 2012 is adjusted with your notice period.

DECLARATION

Received Rs. _____ towards my full and final settlement of all my dues from Maheshwari Mining Pvt Ltd.
Vide Cash/Cheque No. _____ Date _____ Drawn on _____
I also certified that this settlement is made subsequent to my resignation and is accepted by me in fullest satisfaction. I have no more claims to be made from company.

Witness Sign:

1
2

People With Experience

www.maheshwaree.com

Accepted By/Receiver Signature

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CLEARANCE CERTIFICATE

TO BE COMPLETED AT THE TIME OF LEAVING SERVICE

Emp. Name		Location	
Emp. No.		Department	
Date of Joining		Designation	
Date of Resignation		Confirmation Status	
Last Working Day		Reporting Manager	

Particulars	Handover Status		Amount to be recovered for receipt of the non-receipt of the property, if any	Signature's
	YES	NO		
Pending Documents / Files / Papers handover	√			V.P
Current Project cleared	√			
Pending Issues cleared				
Clean up personal folders				
Delete mail box				
In case of blocking of email id please specify the timeframe and forward or access rule				
Mobile Phone / Bill recovery	√			Admin
Motor Car / Corporate Credit Card	√			
Keys/ Property in company's accommodation	√			
Computer/ Laptop / Disk / CD's / Data Card	√			IT
Email Disconnection	√			
Imprest / Advance from Accounts	√		Finance & Accounts	
Mess Advance				
Any other Recovery				
Exit Interview			HR	
			P & C	
Notice Period Required				
Notice Period Given				
Shortfall to be recover/ waive off	Yes			
Privilege leave credited to employee	No			

Employee's Signature	Signature of Head-Human Resources