

ASTRAZENECA LOCAL POLICY

AstraZeneca Pharma India Ltd.

PREVENTION OF SEXUAL HARASSMENT POLICY

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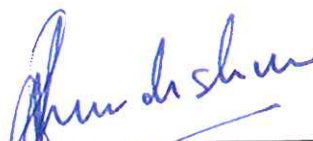
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Smita Saha



Sanjay Murdeshwar

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2 Purpose

AstraZeneca Pharma India Limited ("AstraZeneca") is committed to promoting a safe and secure work environment in which the dignity of all persons is respected and which is free from sexual harassment. Sexual harassment is a form of misconduct that undermines the integrity of the workplace. All employees, male and female, have the right to work in an environment free from all forms of discrimination and conduct which can be considered harassing, coercive, or disruptive, including sexual harassment. In pursuance of these goals AstraZeneca exercises zero tolerance towards acts of sexual harassment or related retaliation, against or by any employee. Anyone engaging in harassing conduct will be subject to discipline, ranging from a warning to termination.

3 Audience

This policy is applicable to employees.

The definition of 'employee' under the Sexual Harassment Act is fairly wide and covers regular, temporary, ad hoc employees, individuals engaged on daily wage basis, either directly or through an agent, contract labour, strategic partners, co-workers, probationers, trainees, and apprentices, with or without the knowledge of the principal employer, whether for remuneration or not, working on a voluntary basis or otherwise, whether the terms of employment are express or implied.

4 Scope

In pursuance of the Guidelines laid down by the Supreme Court of India in Vishaka vs. State of Rajasthan and Ors. (AIR 1997 SC 3011), the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013 and the AstraZeneca Code of Conduct, this policy provides for the following:

- For the prohibition of sexual harassment at the work place
- For procedures to follow when an employer/employee believes that a violation of this policy has occurred.
- For setting up of a Complaints Committee to receive complaints of sexual harassment and redressal of such complaints
- For taking steps for prevention of sexual harassment at the workplace

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.



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5 Policy Statement

5.1 What is Sexual Harassment

Sexual Harassment would include any unwelcome sexually determined behavior whether it is direct or by implication, such as physical contact and advances, demands or requests for sexual favors, sexually colored remarks, showing pornography and any other unwelcome physical, verbal or non-verbal conduct of a sexual nature. The distinguishing characteristic of sexual harassment is that it is conduct with a sexual component, which is unwelcome, unsolicited and unreciprocated.

Unwelcome sexual advances, requests for sexual favours and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment
- Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such an individual;
- Or such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Harassment also occurs where an employer, supervisor, member of management or co-employee, undertakes or attempts to influence the process of employment, promotion, training, discipline, dismissal, salary increment or other benefit of an employee or job applicant in exchange for sexual favors. Sexual harassment may also occur as a result of an act or omission by any third party or outsider.

5.2 Forms of Sexual Harassment

Sexual Harassment can be classified into three basic types. Please note that this list is illustrative in nature and should not be considered to be an exhaustive list:

5.2.1 Verbal Harassment

Verbal Harassment would include,

- Sexually suggestive comments about a person's clothing, body, and/or sexual activities;
- Sexually provocative compliments about a person's clothes or the way their clothes fit;
- Comments of a sexual nature about weight, body shape, size, or figure; comments or questions about the sensuality of a person, or his/her spouse or companion;
- Repeated unwanted proposals for dates and/or sexual intercourse;
- Continuous idle chatter of a sexual nature and graphic sexual descriptions; telephone calls with sexual content;



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- Derogatory comments or slurs;
- Verbal abuse or threats; sexual jokes; suggestive or insulting sounds such as whistling or wolf-calls

5.2.2 Non-Verbal Harassment

- Unsolicited / gratuitous display of sexually explicit written or audio-visual materials like pornographic posters, cartoons, drawings, books or magazines, transmission or display of offensive email, screen savers or pornographic computer images;
- Persistent unwanted attention, following or stalking behavior
- Unwanted sexual advances that condition an employment benefit upon an exchange of sexual favours.

5.2.3 Physical Harassment

Physical Harassment would include sexual gestures, physical touching, innuendoes, offensive gestures or actions of a sexual nature including indecent exposure or "flashing"; etc that is inappropriate in the workplace and that is unwanted or coerced.

5.3 Complaints Committee

5.3.1 Composition

The Complaints Committee shall consist of 5 members of which there shall be at least two female member and one male member. The Committee Members shall be nominated by the AstraZeneca's Board of Directors. The Complaints Committee shall have one external member who is either from a non-governmental organization or is familiar with the issue of sexual harassment, in order to prevent the possibility of any undue pressure or influence from senior levels of management. The first internal members of the Complaints Committee are as follows:

- Ms. Bhavna Gupta, Presiding Officer email id: bhavna.gupta@astrazeneca.com
- Ms. Surbhi Anand email id: surbhi-ISMO.anand@astrazeneca.com
- Mr. Pankaj Jain email id: pankaj.jain@astrazeneca.com
- Ms. Hema Nair email id: hema.nair@astrazeneca.com
- Ms. Poornima Hatti - External representative

5.3.2 Term

The members of the Complaints Committee shall hold office for a period of 2 years. After completion of two years, new members shall be nominated in their place.

5.3.3 Duties

The Complaints Committee shall investigate every complaint of sexual harassment in the best manner possible and act impartially, considering the rights of all parties. The Complaints Committee may investigate complaints either when they are made by the Complainant or Suo Moto.



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Where sexual harassment occurs as a result of an act or omission by any third party or outsider, the Committee shall take all steps necessary and reasonable to assist the affected person with adequate support and preventive action.

5.4 Reporting of Sexual Harassment

5.4.1 Employee's Obligation

Anyone who believes that she or he has experienced or witnessed sexual harassment (Complainant), should immediately report such behavior to any of the following

- His / Her Manager
- Any Member of the Complaints Committee. It is preferable to make a complaint in writing, but the Complainant can accompany or follow up their verbal complaint with a written complaint.
- AZ Ethics, as per the COC guidelines

5.4.2 Supervisor's Obligation

Any person, who experiences, witnesses or receives a written or oral report or complaint of sexual harassment shall promptly report it to the Complaints Committee.

- Employees should also be allowed to raise issues of sexual harassment at meetings and in other appropriate fora, in addition to making private complaints to any member of the Complaints Committee. Any discussions undertaken in this regard should strictly remain confidential at all times.
- If any person feels that he or she has been a victim of sexual harassment at the hands of a member of the Complaints Committee, such complaint may be made to any other member of the Complaints Committee or to any member of the board of directors.
- The Complainant's identity will be protected and s/he will not be retaliated against for making a complaint.

5.5 Investigation Process

- Upon any member of the Complaints Committee receiving a complaint, the remaining members of the Complaints Committee shall be forthwith informed about the complaint and the Complaints Committee shall convene a meeting within three (03) working days to deal with the complaint.
- The Complaints Committee shall promptly initiate a thorough investigation of the complaint. Complaints shall be addressed and resolved as promptly as practicable after the complaint is made to the Complaints Committee. Ordinarily, investigations shall be concluded and reports submitted to the management of AstraZeneca no later than 30 days following the receipt of a complaint.



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- The Complaints Committee shall first request the Complainant to give a statement about the incident/s with details such as what was said, what was done, where it occurred, and what behavior he/she believes to have been inappropriate.
- After receiving full details of the complaint, the Complaints Committee shall immediately inform the accused person/s about the nature of the complaint against him/her and call for a statement or a response in writing.
- Once the Accused has responded to the complaint against him, the Committee shall then proceed to investigate the Complaint by taking up any of the following steps, with prior intimation to the Complainant and the Accused,
- Inform the Supervisors of both the Complainant and the Accused, about the case
- Interview co-workers, supervisors etc. of the Complainant as well as the Accused under as much anonymity is practically possible in each individual case:
- Obtain testimony from individuals who were witnesses to the alleged act of sexual harassment or any other similar acts;
- Interview people with whom the alleged victim discussed the incident;
- Take any other steps which it deems necessary in order to determine whether the Complaint is genuine, including, in its sole discretion, an opportunity for the accused to examine the complainant / witnesses.
- Any employee with knowledge of the allegations will be encouraged to participate fully and truthfully in the administrative investigation. All employees involved in the formal or informal resolution of complaints of sexual harassment shall ensure that they have no conflict of interest or bias in relation to any party to the complaint and that there is no perception by the parties that they have a conflict of interest or bias.
Persons having concerns about perceptions of possible conflict of interest or partiality should make such possibility of conflict known and exclude themselves from the process.
- Both the complainant and the person accused of harassment will have the right to be heard and to be accompanied at each step of the procedure by a representative.
- If any member or members of the Committee are unacceptable to either party to the complaint, the Board of AstraZeneca may be petitioned to replace temporarily that member or members of the Committee for the purpose of hearing and investigating the complaint.

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5.6 Completion of Investigation

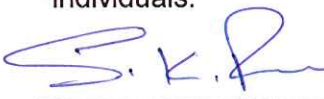
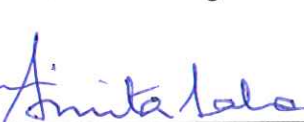
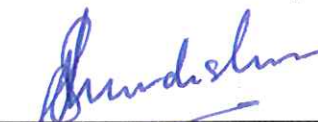
- On completion of investigation the Complaints Committee shall prepare a written report which shall include a statement of factual findings and a determination of whether sexual harassment has occurred. The report shall be then presented for review to the Board of Directors of AstraZeneca. A copy of the report will also be given to the complainant and the accused.
- If upon investigation, the Complaints Committee comes to a conclusion that the complaint is not true or that it cannot be upheld for some other reason, then it shall record the same in writing and give directions as are considered appropriate and necessary to remedy the matter. While doing so the Committee shall take into account all the circumstances of the case.
- If the complaint is upheld (either wholly or in part) by the Committee, then it shall first attempt to call the Complainant and Accused together for an apology and conciliation, if in its view, the complaint is not grave. But this shall be done only if the Complainant is ready and willing for the same. If the matter is settled amicably and to the satisfaction of both parties, then the apology shall be reduced to writing, and signed by the Accused and accepted by the complainant.
- If the complaint is upheld by the Committee and it is serious in nature, then the Accused shall be subject to Disciplinary Action as provided for in Section 8 below, through the Human Resources & tower lead of the Accused.
- All records of sexual harassment shall be considered confidential and shall not be disclosed publicly except to the extent required by law.

5.7 Disciplinary Action

If it is determined after the investigation that sexual harassment has in fact taken place, the Complaints Committee in its report shall recommend the appropriate corrective action to be taken by the Board of Directors of AstraZeneca against the person or persons responsible. Depending on the findings of the investigation, the corrective action recommended by the Complaints Committee could range from a warning and counseling of the employee to disciplinary actions such as suspension, transfer, deduction of pay, and termination. The Disciplinary action would be executed by the tower lead & Human Resources.

The Board is expected to meet within 2 weeks of having received the report (in any case, not later than 4 weeks) during which time; the Committee would present the Report and Recommendations. After considering the report and having regard to the circumstances of the case, the Board of Directors of AstraZeneca may pronounce any punishment / disciplinary action and the same shall be binding on all concerned.

If the investigation reveals that someone outside of AstraZeneca's employment has engaged in sexual harassment of an employee, the Complaints Committee will recommend appropriate action to be taken by AstraZeneca against such individuals or companies employing such individuals.

		
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Where the conduct of the Accused has amounted to any specific offence punishable under the Indian Penal Code 1860 or under any other law, the Complaints Committee shall recommend initiating appropriate action in accordance with law by making a complaint with the appropriate authority and also aid and assist the Complainant in whatever way possible.

5.8 No retaliation

No employee shall suffer threats, harm or retaliation in any form for filing a sexual harassment complaint nor will his/her current job conditions be altered without his/her express consent.

It is a violation of this policy to engage in retaliatory acts against any employer employee who reports an incident of alleged sexual harassment, or any employer or employee who testifies, assists or participates in a proceeding, investigation or hearing relating to such allegation of sexual harassment. Complaints of retaliation related to a sexual harassment complaint may result in disciplinary action.

5.9 Confidentiality

All complaints will be kept confidential to the extent possible consistent with a full investigation. All hearing and records shall be private, and AstraZeneca shall not release information concerning a complaint to anyone not involved in the investigation of the complaint. The purpose of this provision is to protect the confidentiality of the member or employee who files a complaint, to encourage the reporting of any incidents of sexual harassment, and to protect the reputation of any person wrongfully accused of sexual harassment.

5.10 Duties of the Employer and preventive steps

The management of AstraZeneca is responsible for ensuring that this Policy is properly implemented and all employees are made aware of the policy. All workplaces and offices at AstraZeneca will be notified and this Policy will be published and distributed in order to create awareness among employees, especially female employees. Workers, supervisors and managers have a responsibility to maintain a workplace free of sexual harassment.

In order to comply with this policy, the management of AstraZeneca shall take the following preventive measures:

- Shall distribute to all employees appropriate information concerning the nature of sexual harassment, methods by which it may be prevented or eliminated, and avenues through which victims may seek assistance.



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- Shall display and notify to all employees the names and contact details of the members of the Complaints Committee.
- Train managers and all supervisory personnel on the problem of sexual harassment and their role in complaint handling.
- Provide appropriate work conditions to women in respect of work, leisure, health and hygiene
- Ensure that staff and other employees are aware of appropriate and acceptable standards of behavior;
- Take early corrective action to deal with behavior that may constitute sexual harassment;
- Conduct regular training and awareness programs designed to prevent sexual harassment at the workplace
- Distribute this policy and procedures concerning prevention of sexual harassment to all new employees at induction

5.11 Non-Waiver of Statutory Rights




This policy and procedures document does not constitute a waiver of any of the statutory and common law rights of both parties and it shall be open to both parties to exercise any of their legal rights.

5.12 Responsibility

Human Resources Department would be responsible for verifying the effectiveness of the policy and the policy would be reviewed at regular two-year intervals by the -Board at AstraZeneca

5.13 Revision History

Date	Version	Description of Change
11-03-2015	1.0	Policy Created

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Approved by

July 21, 2015

NOTICE

AstraZeneca Pharma India Limited

Change in Presiding officer - Internal Complaints Committee

Pursuant to enactment of the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013, the Company has an Internal Complaints Committee ("ICC") to deal with matters pertaining to sexual harassment of women at work place.

Consequent to the resignation from employment of the erstwhile Presiding Officer of the ICC, Ms. Aditi Nadkarni is being appointed as the Presiding Officer of the ICC. This change is effective July 21, 2015.

All other members and the Independent NGO representative of the ICC remain unchanged.

The details of the ICC members, the policy and procedure are updated with the name and contact details of Ms. Aditi Nadkarni, as mentioned below.

The members of the ICC are updated as follows:

1. Ms. Aditi Nadkarni, Presiding Officer
2. Ms. Surbhi Anand
3. Mr. Pankaj Jain
4. Ms. Hema Nair
5. Ms. Poornima Hatti - Independent NGO representative

Sexual Harassment for the purpose of enquiry by this committee means "such unwelcome sexually determined behaviour" (where directly or by implication) as;

- A) Physical contact and advances.
- B) Demand or request for sexual favours.
- C) Sexually coloured remarks.
- D) Showing pornography.
- E) Any other unwelcome physical, verbal or non-verbal contact of sexual harassment.

1. How to make a complaint:

- 1.1 Any aggrieved woman employees of the Company may make a complaint in writing to ICC within 3 months of the date of the incident. The complaint may be sent by mail to:

Aditi Nadkarni – aditi.nadkarni1@astrazeneca.com
Surbhi Anand – surbhi-ISMO.anand@astrazeneca.com
Pankaj Jain – pankaj.jain@astrazeneca.com
Hema Nair – hema.nair@astrazeneca.com
Poornima Hatti – poornima@samvadpartners.com

or, by post to :

Internal Complaints Committee
AstraZeneca Pharma India Ltd
Block N1, 12th Floor, Manyata Tech Park
Rachenahalli, Outer Ring Road
Bangalore – 560 045
Attn – Ms Aditi Nadkarni, Presiding Officer

2. Procedure by ICC:

- 2.1 The ICC will meet as and when any complaints are received from the employees with regard to any sexual harassment.
- 2.2 Notice to the members of ICC shall be in writing or in exceptional circumstances, on oral intimation.
- 2.3 The ICC shall meet in the office premises in any place where provision is made for enquiry.

3. Enquiry:

- 3.1 Notice of Enquiry shall be served on the complainant and also the employee against whom the complaint is lodged by the ICC in writing.
- 3.2 At the time of enquiry both the complainant and the opposite party shall be personally called and their statement shall be recorded.
- 3.3 The Committee members are at liberty to cross-examine any of the parties to ascertain the truth of the complaint.
- 3.4 If any of the parties specifically regrinds, maximum of two witnesses can be allowed from the each side to substantiate their claim.
- 3.5 The Committee shall consider the statement and other evidences available, in a joint sitting and decide the truth or otherwise of the complaint by a majority decision.

- 3.6 Quorum for meeting shall be minimum 3 members.
- 3.7 The Enquiry shall be completed within 90 days of receipt of the complaint.
- 3.8 The Enquiry Report shall be submitted to management within 10 days from the date of completion of Enquiry.
- 3.9 The Enquiry Report shall include recommendations for action if the allegation of misconduct is proven. And, if there is proven malicious intent / false allegation, then punishment will be recommended as well.

4. Action by Management:

- 4.1 Management shall act on the recommendations of the ICC within 60 days of receipt of the Enquiry Report.
- 4.2 There shall be no need for further enquiry to take action against the guilty wherever the report is made giving reasons for their conclusions.
- 4.3 The action taken on the basis of the complaint and the decision of the Management shall be communicated to the complainant in writing.
- 4.4 The decision of the management in the above matter shall be final.

5. Penal Consequences:

- 5.1 Sexual harassment shall be treated as misconduct under the terms of contract and call for appropriate disciplinary action including up to termination.

For AstraZeneca Pharma India Limited


Authorized Signatory

Addendum**Prevention of Sexual Harrassment Policy****Change in Presiding officer - Internal Complaints Committee**

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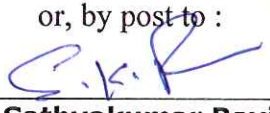
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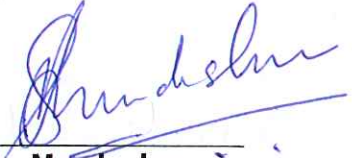
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Poornima Hatti – poornima@samvadpartners.com

or, by post to :


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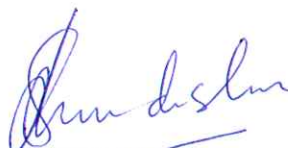
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January 29, 2015

NOTICE

AstraZeneca Pharma India Limited

Constitution of Internal Complaints Committee

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1. Ms. Bhavna Gupta, Presiding Officer
2. Ms. Surbhi Anand
3. Mr. Pankaj Jain
4. Ms. Hema Nair
5. Ms. Poornima Hatti - Independent NGO representative

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Poornima Hatti – poornima@samvadpartners.com

or, by post to :

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AstraZeneca Pharma India Ltd
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Attn – Ms Bhavna Gupta , Presiding Officer

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5.1 Sexual harassment shall be treated as misconduct under the terms of contract and call for appropriate disciplinary action including up to termination.

For AstraZeneca Pharma India Limited


Authorized Signatory

NOTICE

- | | |
|------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Name & address of Establishment | : AstraZeneca Pharma India Ltd
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Rachenahalli, Outer Ring Road
Bangalore – 560 045 |
| 2. Name of the Occupier | : Mr. Sanjay Murdeshwar |
| 3. Working Hours | : 9.00 am to 5.30 pm with half an
hour lunch break |
| 4. Weekly Holiday | : Saturday & Sunday |
| 5. Pay Day | : Last working day of the month |
| 6. Name of the person responsible
For receiving notices | : Mr. Sathyakumar Ravi
Human Resource Director |
| 7. Labour Inspector In-charge | : Senior Labour Inspector,
44 th Circle |

For AstraZeneca Pharma India Ltd



Smita Saha
Vice President – Human Resources