



## Incident Report and Investigation Policy

**Version:** 1.0

**Date:** Jan 2024



## Incident Report and Investigation Policy

### Objective

This policy aims to establish a systematic and fair process to investigate matters pertaining to conflicts of interest, disciplinary issues, breach of employment terms & conditions, confidentiality and/or non-performance concerns within the organization.

### Procedure

#### 1. Reporting of Incident

1.1. Employees should report incidents regarding the above mentioned aspects directly to S/VP People & Culture. The report (format attached as annexure A) must include all relevant information or/and evidence.

#### 2. Investigation of Incident

2.1. Upon receiving a formal report, the SVP/VP People & Culture will evaluate the case, verify the evidence submitted and collect necessary information for confirmation of the reported incident (format attached as annexure B).

2.2. Wherever applicable an investigation committee may be established (at least 2 neutral members) and/or an external/internal legal counsel will be involved. The P&C or Investigation Committee will prepare an inquiry report (format as annexure C) along with collected evidence.

2.2. Written statements from all parties involved will be obtained, and all the meetings will be documented/recorded in every stage of case investigation.

2.3. The P&C or investigation committee will propose a way forward for resolution or further action based on actual findings and verified evidence.

2.4. The inquiry report with recommendations will be shared with the CEO before taking final action.

#### 3. The Decision



3.1. The decision once finalized will be communicated to the concerned employee and all involved members in writing and will be recorded in the employee personal file for future reference.

#### 4. Confidentiality

4.1. Confidentiality will be maintained throughout the investigation process to protect the privacy of individuals involved.



Incident Report Form				Annexure A
Employee Information				
Employee Name		Position		
Department		Location	<input type="checkbox"/> ISB <input type="checkbox"/> LHR <input type="checkbox"/> KHI	
Type of incident				
<div> <input type="checkbox"/> Disciplinary issues           <input type="checkbox"/> Conflicts of interest         </div> <div> <input type="checkbox"/> Confidentiality concerns           <input type="checkbox"/> Non-performance         </div> <div> <input type="checkbox"/> Breach of employment terms &amp; conditions         </div> <div> <input type="checkbox"/> Other: _____         </div>				
Description of Incident				
List of Evidence Attached				
Incident Report submitted by:				
Name		Designation		
Department		Location	<input type="checkbox"/> ISB <input type="checkbox"/> LHR <input type="checkbox"/> KHI	
Date of report		Signatures		



<b>Employee Statement</b>			Annexure B
<b>Employee Information</b>			
Employee Name		Position	
Department		Location	<input type="checkbox"/> ISB <input type="checkbox"/> LHR <input type="checkbox"/> KHI
<b>Please write your statement in light of the incident reported</b>			
<b>Mention list of evidence attached</b>			
<b>Submitted by (Name &amp; Signature)</b>		<b>Date of Submission</b>	



Investigation Report			Annexure C
Employee Information			
Employee Name		Position	
Department		Location	<input type="checkbox"/> ISB <input type="checkbox"/> LHR <input type="checkbox"/> KHI
Investigation Carried by			
<input type="checkbox"/> People & Culture			
<input type="checkbox"/> Investigation Committee (Mention Names of nominated members of investigation committee)			
1. _____			
2. _____			
Description of Incident:			
Findings of P&C/ investigation Committee along with details of evidence:			
Recommendations and Way Forward			
Submitted by (Name & Signature)		Date of Submission	

