



## **MUNDRA INTERNATIONAL CONTAINER TERMINAL PRIVATE LIMITED VIGIL MECHANISM POLICY**

### **1. Policy statement**

- 1.1. Mundra International Container Private Limited (MICT) is committed to conducting its business with honesty and integrity, and expects all staff to maintain high standards in accordance with its Code of Conduct Policy and Procedure.
- 1.2. The aims of this policy are:
  - 1.2.1. To encourage staff to report suspected wrongdoing as soon as possible, in the knowledge that their concerns will be taken seriously and investigated as appropriate, and that their confidentiality will be respected.
  - 1.2.2. To provide staff with guidance as to how to raise those concerns.
  - 1.2.3. To reassure staff that they should be able to raise genuine concerns in good faith without fear of reprisals, even if they turn out to be mistaken.
- 1.3. This policy does not form part of any employee's contract of employment and it may be amended at any time.

### **2. Who is covered by this policy?**

This policy applies to all individuals working at all levels of the organisation, including senior managers, officers, directors, employees, consultants, contractors, trainees, home workers, part-time and fixed-term workers, casual and agency staff and volunteers (collectively referred to as "staff" in this policy).

### **3. What is whistleblowing?**

- 3.1. "Whistleblowing" is the disclosure of information which relates to suspected wrongdoing or dangers at work. This may include:
  - 3.1.1. Criminal activity;
  - 3.1.2. Miscarriages of justice;
  - 3.1.3. Danger to health and safety;
  - 3.1.4. Damage to the environment;
  - 3.1.5. Failure to comply with any legal or professional obligation or regulatory requirements;



- 3.1.6. Bribery;
  - 3.1.7. Financial fraud or mismanagement;
  - 3.1.8. Negligence;
  - 3.1.9. Breach of DP World internal policies and procedures including DP World's Code of Conduct Policy and Procedure;
  - 3.1.10. Conduct likely to damage DP World's reputation;
  - 3.1.11. Unauthorised disclosure of confidential information;
  - 3.1.12. The deliberate concealment of any of the above matters.
- 3.2. A "whistleblower" is a person who raises a genuine concern in good faith relating to any of the above. If a member of staff has any genuine concerns related to suspected wrongdoing or danger affecting any of DP World's activities (a "whistleblowing concern") they should report it under this policy.
- 3.3. This policy should not be used for complaints relating to a staff member's personal circumstances, such as the way they have been treated at work. In those cases they should refer to the Human Capital Policy as appropriate for further information.
- 3.4. If a member of staff is uncertain whether something is within the scope of this policy they should seek advice from the personnel mentioned (details are at the end of this policy).
- 4. Raising a whistleblowing concern**
- 4.1. The employee should report any suspicion or incident of bribery or fraud to his/her supervisor or manager. The supervisor/manager shall advise the most senior manager at the operating site at which the informant is employed. The senior official must inform the Head of Internal Audit who will then inform MICT management in line with the DP World Fraud Incident Response Plan.
  - 4.2. If an employee or other person feels that, due to reasons of confidentiality, a report of a suspicion or incident of bribery, fraud or corruption cannot be given to his/her supervisor/manager. The employee or other complainant may remain anonymous and any concerns will be relayed in confidence to the Head of Internal Audit, who is independent of management and has a direct access to DP World Global Internal Audit who in turn reports to DP World Global Audit Committee.
  - 4.3. Where applicable, MICT will arrange a meeting with staff as soon as possible to discuss their concern. Staff may bring a colleague any meetings under this policy. The staff





member's companion must respect the confidentiality of the disclosure and any subsequent investigation.

- 4.4. MICT will take down a written summary of the staff member's concern and provide them with a copy after the meeting. MICT will also aim to give staff an indication of how it proposes to deal with the matter.

## 5. Confidentiality

MICT encourages staff to voice whistleblowing concerns openly under this policy. The identity of the person reporting the activity will remain confidential. However, if it is necessary for anyone investigating the staff concern to know the member of staff's identity in order to conduct a proper investigation, MICT will discuss this with the member of staff concerned.

## 6. External disclosures

- 6.1. The aim of this policy is to provide an internal mechanism for reporting, investigating and remedying any wrongdoing in the workplace. In most cases staff should not find it necessary to alert anyone externally.
- 6.2. The law recognises that in some circumstances it may be appropriate for staff to report their concerns to an external body such as a regulator. It will very rarely, if ever, be appropriate to alert the media. MICT strongly encourages staff to seek advice before reporting a concern to anyone external.
- 6.3. Whistleblowing concerns usually relate to the conduct of MICT staff, but they may sometimes relate to the actions of a third party, such as a customer, supplier or service provider. The law allows staff to raise a concern in good faith with a third party, where staff reasonably believes it relates mainly to their actions or something that is legally their responsibility. However, MICT encourages staff to report such concerns internally first to their line manager.

## 7. Investigation and outcome

- 7.1. Once staffs have raised a concern, the Head of Internal Audit will carry out an initial assessment to determine the scope of any investigation and will inform the member of staff of the outcome of its assessment. The staff member may be required to attend additional meetings in order to provide further information.
- 7.2. In some cases MICT may appoint an investigator or team of investigators, including staff with relevant experience of investigations or specialist knowledge of the subject matter. The investigator(s) may make recommendations for change to enable MICT to minimise



the risk of future wrongdoing.

- 7.3. MICT will aim to keep staff informed of the progress of the investigation and its likely timescale. However, sometimes the need for confidentiality may prevent MICT giving staff specific details of the investigation or any disciplinary action taken as a result. Staff should treat any information about the investigation as confidential.
- 7.4. While no one who comes forward in good faith has anything to fear, false allegations which are raised maliciously will be treated as misconduct and dealt with in accordance with DP World's disciplinary procedure.

## **8. If staff are not satisfied**

- 8.1. MICT will deal with staff concerns fairly and in an appropriate way.
- 8.2. Where staff is not happy with the way in which their concern has been handled, they may contact the Head of HC whose contact details are set out at the end of this policy.

## **9. Protection and support for whistleblowers**

- 9.1. It is understandable that whistleblowers are sometimes worried about possible repercussions. MICT will support staffs who raise genuine concerns in good faith under this policy, even if they turn out to be mistaken.
- 9.2. Staff must not suffer any detrimental treatment as a result of raising a concern in good faith. Detrimental treatment includes dismissal, disciplinary action, threats or other unfavourable treatment connected with raising a concern. If staff believes that they have suffered any such treatment, they should inform the Head of Internal Audit immediately. If the matter is not remedied they should raise it formally using the Grievance Procedure in the Human Capital Policy.
- 9.3. Staff must not threaten or retaliate against whistleblowers in any way. Anyone involved in such conduct will be subject to disciplinary action.

## **10. Responsibility**

- 10.1. This policy is operated on behalf of the Board of MICT and is independent of management.





- 10.2. This policy will be reviewed from a legal and operational perspective at least once every 2 years.
- 10.3. All staff are responsible for the success of this policy and should ensure that they use it to disclose any suspected danger or wrongdoing. Staffs are invited to comment on this policy and suggest ways in which it might be improved. Comments, suggestions and queries should be addressed to Head of Internal Audit.

11. Contacts

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