

Employee Guide



SustainoMetric

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Introduction

This document is a handbook for SustainoMetric (India) employees to govern our day-to-day actions while doing business. This policy is applicable to every employee of SustainoMetric and at all levels. Our success is the direct result of your enthusiasm, hard work and commitment. Our greatest assets are our employees. We believe that an organization is as great as the people who work for it are. You are the reason why our corporate culture is unique and characterized by diversity. To support this culture, we try to create a work environment that is challenging on a professional level and satisfying on a personal one.

OUR VISION

Be a global leader, in thought and action, to drive transformation towards a changed world where sustainability becomes a norm and where investors and companies take collective actions to address real world problems in sustainable ways.

OUR MISSION

To help ESG investors, ESG raters and companies seeking to improve sustainability in investments and operations, by providing high quality and customized sustainability research and advice.

1. A Safe and Secure Workplace

SustainoMetric will make every effort to provide you with a safe environment to work. To help keep your workplace safe, we ask that you observe all applicable safety requirements and report any unsafe or hazardous conditions to your supervisor immediately.

Every reasonable effort will be made to safeguard your personal belongings; however, SustainoMetric is not responsible for items that are lost, stolen or misplaced in the premises. We recommend not to bring valuables to the office or if they are brought, remain locked in your lockers while out of your possession.

2. Equal Employment Opportunity (EEO)

SustainoMetric is an equal opportunity employer. This means that we will extend equal opportunity to all individuals without discrimination on the ground of race, religion, color, sex, national origin and age with emphasis on performance. This policy governs all aspects of employment, including selection, job assignment, compensation, discipline, termination, benefits and employee development.

3. Living Wage

SustainoMetric is committed to offer fair remuneration to all of its employees whether permanent or contractual. Our salaries are competitive to attract the best talent available. We therefore ensure that our salaries are much above the living wage.

4. Workplace Violence

SustainoMetric workplace policies prohibit any act of physical violence, harassment, intimidation or other disruptive behaviors. We also prohibit the possession, carrying and/or use of any type of firearm or weapon within the premises. For the purposes of this policy, premises are defined as:

- All property and facilities of SustainoMetric or its subsidiaries including parking areas, buildings and grounds (grass and sidewalk areas),
- Company vehicle, including personal vehicles used for SustainoMetric business, and
- All other locations where our employees are conducting business, acting within the course and scope of their employment or acting on behalf of SustainoMetric.

- To ensure the wellbeing of our employees, visitors, vendors and customers, SustainoMetric will not tolerate any form of violence or threat of violence in the workplace. Any employee engaging in a violent act or threatening such an act will be subject to appropriate disciplinary action.

If you are threatened or you are aware of threats to others, you are required to report this information immediately to your supervisor. Any employee who violates SustainoMetric policy against firearms and weapons will be terminated immediately.

5. Protection of Company Property

Employees are instructed to work carefully at all times and ensure that company property is properly protected at all times. Negligence, intentional, or willful destructive acts to company property or equipment will not be tolerated and may lead up to termination. Intentional misuse of property also applies to our information systems and data files. The company reserves the right to recover the cost of damage from the employee, if found guilty.

6. Confidentiality

During your career at SustainoMetric, you may become aware of information that is confidential and proprietary to the company or to its clients, such information may relate to prospective acquisitions, customers, perspective customers, or employment issues. You must maintain the confidentiality of such information. You will be required to sign a Confidentiality Agreement when you are hired.

Failure to keep information confidential could cause irreparable harm to SustainoMetric or its customers. Employees who violate this policy will be subject to disciplinary actions, leading up to and including termination of employment.

7. Copyrights and Intellectual Property

All of the ownership of tangible and intangible work products you develop during your employment with SustainoMetric is the property of SustainoMetric (i.e., work made for hire) and/or of its clients. This also includes intangible intellectual property rights (such as patents, copyrights and trade secrets) created, developed, invented or discovered during your employment with SustainoMetric and related to SustainoMetric's business.

Any such data and/or documents are SustainoMetric's property. The contents may not be disclosed unless in connection with SustainoMetric business. If your employment with SustainoMetric ends, you must obtain written permission from the Director to use any SustainoMetric documents or data.

8. Conflict of Interest

A conflict of interest occurs when an individual's personal interests or relationships interfere or appear to interfere with the interests of SustainoMetric. Conflicts of interest may arise in various situations, including but not limited to:

- Financial interests in competing businesses or organizations,
- Personal relationships with suppliers, clients, or competitors,
- Acceptance of gifts, favors, or other forms of gratification that may influence decision-making,
- Outside activities or investments that may compete with or influence SustainoMetric's interests.

All individuals associated with SustainoMetric have a duty to promptly disclose any actual or potential conflicts of interest to the appropriate authority, such as their supervisor, the Human Resources department, or the Board of Directors. Disclosure should be made in writing and include sufficient detail to allow for a thorough assessment of the conflict.

9. Information Security

All employees have a responsibility to protect and safeguard our information assets, ensuring the confidentiality, integrity, and availability of all information. This includes proprietary and confidential data concerning our products, services, clients, and employees.

Usage Guidelines for Information

- **Business Use Only:** SustainoMetric's information assets and infrastructure are to be used solely for legitimate business purposes.
- **Confidentiality:** Transmission of confidential information outside SustainoMetric or to unauthorized individuals within the organization is strictly prohibited.
- **Data Storage:** Storing SustainoMetric information on external media or non-approved cloud platforms is not permitted.
- **Password Protection:** Passwords must be kept confidential and not shared with anyone except when necessary for sharing password-protected documents on a need-to-know basis.
- **Ethical Use:** Information must not be used for personal gain or in any way contrary to the law or detrimental to the organization's legitimate and ethical objectives.
- **Restricted Sharing:** Information should not be shared or displayed on collaborative platforms with unauthorized individuals. Taking pictures of display screens is strictly prohibited.

Any actual or suspected breaches of information security must be reported immediately to the SustainoMetric IT team at ITAdmin@SustainoMetric.com.

10. Harassment Complaint Procedures

10.1. Harassment

It is your right to enjoy a work environment that is free of all forms of harassment. SustainoMetric expressly prohibits sexual, racial or any other form of harassment.

Our harassment policy prohibits:

- Unwelcome sexual advances,
- Requests for sexual favours, and
- Verbal or physical conduct of a sexual or offensive nature that may interfere with an employee's work performance or create an intimidating, hostile or offensive working environment.

In addition, prohibited behaviours include:

- Using the submission or rejection of offensive conduct as the basis for employment decisions;
- Using offensive conduct to create an intimidating, hostile or offensive working environment and
- Displaying pictures, posters or symbols that is offensive.
- Personal behavior and language that is acceptable to one individual may be offensive to another.

Therefore, each individual must use sound judgment concerning the possible effects on others of his or her actions.

10.2. Resolving a Harassment Problem

If you believe you have been treated in an unlawful or inappropriate manner, report the matter promptly to your supervisor, or Director.

The following steps will be taken to resolve your complaint:

- We will thoroughly investigate the matter.
- We will discuss the matter with both parties and will question all employees who may have knowledge of either the incident in question or similar situations. The complaint, investigative steps and findings and disposition will be thoroughly documented.
- When the investigation is completed, we will follow through an appropriate corrective action.

SustainoMetric prohibits any form of retaliatory action against an employee who files a complaint under this procedure.

11. Bribery and corruption

Employees are expected to abstain from any form of fraud or fraudulent behaviour. This includes, in any event:

- Registering wrong hours in the time registration spreadsheet than the number of hours actually worked;
- Claiming reimbursement of expenses for expenses that have not been made or for expenses which are not related to working at SustainoMetric;
- Taking away company goods for personal use;
- Making or receiving payments on company name.

11.1. Payments

Payments made to SustainoMetric by clients and other third parties will only be accepted when they are based upon an invoice sent by SustainoMetric. Invoices can only be sent to clients if the invoice is based upon a contract between SustainoMetric and the client, or if SustainoMetric has written evidence (in the form of a report or a written confirmation by the client) that the service has been offered.

All payments made by SustainoMetric to suppliers, staff, the tax office and other third parties, have to be based on invoices received or other written agreements.

SustainoMetric keeps all invoices and other financial records which will evidence the business reasons for making payments to third parties and receiving payments from third parties, for a period of 7 years. The financial records are maintained and controlled by its director as well as the external accountant.

11.2. Suspicions of fraud or corruption

If there is any suspicion of an employee violating the guidelines as laid down in this policy, other employees and third parties are encouraged to report this to the director directly.

The director will discuss the suspicion with the employee. If the employee cannot offer a proper explanation of his/her behaviour, he/she will be found to have violated the guidelines as laid down in this policy. Depending on the seriousness of the violation, the employment/internship/freelance contract may be ended immediately.

12. Drugs and Alcohol Policy

SustainoMetric prohibits the use, sale, possession or distribution of any illegal substance while at work, on SustainoMetric premises or while conducting SustainoMetric business outside of SustainoMetric premises. SustainoMetric' drug and alcohol policy also prohibit reporting for work while under the influence of illegal drugs or alcohol whether it is during working hours, on SustainoMetric premises or while conducting SustainoMetric business outside of SustainoMetric premises. In addition, the misuse of prescribed drugs is also prohibited. Violating the above SustainoMetric drug and alcohol policy is grounds for immediate termination.

SustainoMetric is not concerned with the social aspects of alcohol usage unless it interferes with the job performance of an employee or employees, or where the use of alcohol reflects negatively on SustainoMetric' reputation and standing in the community. In any of these cases, the employee(s) involved may be subject to disciplinary action, leading up to and including termination of employment.

13. No Smoking Policy

SustainoMetric offices have been designated as smoke-free. You may not smoke in common areas, including conference rooms, hallways, elevators, stairwells, restrooms, break areas, or where otherwise restricted.

14. Fire Policy

In general, employees should seek to ensure good standards of housekeeping at all times. A clean and tidy workplace is less likely to be a source of fire. Any act or omission, which you believe may constitute a fire risk, should be immediately notified to Admin Department. All potential fire hazards will be identified, and the risks assessed and reduced to an acceptable level. You must ensure that you are aware of the nearest fire exit, and its alternative, for emergency use. You must ensure that you are aware of the nearest fire extinguisher to your work location, its type and know how to operate it.

On discovering a fire:

- Operate the nearest fire alarm;
- Alert other people within your immediate vicinity;
- Do not attempt to tackle the fire yourself;
- On hearing the fire alarm immediately follow the fire exit route;
- Do not delay - evacuate the premises immediately;
- Do not stop to collect personal possessions;
- Remain calm and proceed in an orderly manner;
- Do not re-enter the premises or site until the Fire Brigade is satisfied that the premises and site are safe to re-enter;
- Under no circumstances must employees put themselves or others at risk in a fire situation.

15. Cell Phone Use and Using the Telephone

It's customary to keep your cell phone on "Silent" or on "Low Volume" while at work place and to talk in a low volume as a matter of consideration for others at work around you. Your Phone Call should not disturb others.

Using your cell phone for business while driving a vehicle is prohibited by law. If you receive or must make a business-related call, SustainoMetric recommends that you pull over to a safe location to discuss business matters. If you choose to make or receive calls while driving, you assume the risk for doing so.

SustainoMetric provides all employees who work in a SustainoMetric facility access to a telephone for use in conducting SustainoMetric business. We recognize that you may occasionally need to make or receive personal calls during working hours. We ask you to limit the number and length of such calls.

16. Open Door Policy

SustainoMetric believes that honest and direct communication fosters good working relationships. Accordingly, SustainoMetric has adopted an open-door policy. This means that the SustainoMetric management team is available to assist you in resolving any concerns, misunderstandings or conflicts that may occur during the course of your employment.

17. Leaves and Holiday

17.1. Company Holidays

The list of holidays for each year will be declared in December of the preceding year for the respective business year. Employees might be required to work on declared holidays if business needs so. In such cases, employees will be provided with two substitute day off for each holiday worked or paid compensation for two days as per company decision. There are 10 public holidays in a year.

17.2. Types of Leave

An employee can avail following types of leave:

- Paid Leave (PL) – 18 working days
- Leave Without pay (LOP) – Prior written approval is needed. Can be availed only after discussing with your supervisor - LOP is without pay and allowances, when no other kind of leave is due or when the staff member applies for LOP, on grounds of prolonged illness or any other exceptional circumstances.

17.3. Procedure for availing leaves

- An employee intending to take a leave should inform his/her supervisor and get approval.
- An employee intending to go on long leave (more than 5 working days) will have to apply in writing at least two calendar weeks in advance to his/ her supervisor.
- The supervisor, depending on the exigencies of work will consider and sanction / reject in writing the leave applied for.
- If there is not enough balance of leaves, the leaves shall be without pay.

18. Job Contract

18.1. Job Title

Your Job title is as stated in your appointment letter. Detailed terms and conditions of your employment are mentioned in the employment contract. Any amendment in your Job Title will be notified to you in writing.

18.2. Pay

Pay comprises of basic salary and other allowances as stated in the appointment letter. Any changes in the pay will be informed to you in form of writing. Details related to pay is confidential and should not be disclosed to your co-workers.

Payment will be made before 10th of each following month. All payment is subjected to statutory deductions and will be paid into the account in your name.

18.3. Salary Reviews

The company undertakes review of salaries on an annual basis. However, the salary reviews may be suspended or delayed, or review cycles can be changed at the company's sole discretion. Any changes in the salaries shall be communicated in writing.

18.4. Resignation from services

The employee may decide to end the contract. He or she should inform SustainoMetric at least one month in advance. This rule applies both for temporary contracts and permanent contracts.

18.5. Termination of contract by employer

The temporary contracts end on the set date. SustainoMetric will inform you about its decision to end or extend the contract latest a month before this date.

If you have a permanent contract, the contract can be ended when you reach your retirement age. SustainoMetric may also end your contract for other reasons such as:

- Breach of its employee handbook policies – This will be a termination of employment and does not require any notice period.
- Lack of alignment with business – In case where SustainoMetric feels that an employee's skills or performance doesn't match SustainoMetric's expected levels, the following steps will be followed:
 - First notice of performance issue – from this period onwards the employee will be given detailed written feedback on all of his work so that he/she can improve. Regular discussion and feedbacks (written) will be conducted during a period of two months.
 - An evaluation of his/her performance during the two months will be done and a decision will be taken to continue with the employment (if there is a positive progress). In case the results are still not satisfactory, the employee will be asked to leave.

Employee Signature: