
**Sanjivani Institute of Pharmacy and Research,
Kopargaon**

Rules and Polices of Institute

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Introduction

This Human Asset Policy Manual is provided as a central reference for all employees of the institute.

These policies are designed to promote the philosophy of Sanjivani Rural Education Society with regard to standards of excellence, terms of employment, employee development and employee services.

It may be necessary to change these policies from time to time to reflect changes in the employment trends & circumstances. However, any changes in policy will be consistent with the Organization's approach to:

- Employing talented individuals whose creativity and imagination will support and contribute in achieving the objectives of the institute.
- Communicating Organizational standards and expectations in all aspects of employment including performance.
- Valuing diversity, assuring equal employment opportunity and a workplace where relationships are based on mutual respect.
- Treating all staff (teaching and non-teaching), students, parents, service providers and associates in a professional, non-discriminatory manner.
- Providing safe, healthy and competitive working conditions.

All employees are expected to read the Human Resource Policy Manual during each term in order to know the policy updates made from time to time. Updates will also be informed to employees by emails. Any update is made as and when required with the permission of the management of the institute and as per the statutory requirements.

A sincere effort has been made to create a manual anticipating future needs and issues in a manner easy to understand for most users. Suggestions and contributions to make the manual more comprehensive are welcome from all the employees. Any ambiguity / clarifications / doubts that arise out of the interpretation of the text of this Manual shall be ignored out through the rules and regulations laid down by the MSBTE Mumbai.

In case of conflict of rules laid down by PCI, DTE and MSBTE Mumbai, a proper decision on a specific matter is left to the sole discretion of the Principal / Management. This Manual shall not remain a sacred book and may be subject to periodic amendments depending on the needs that arise from time to time.

1. Code of Conduct and Ethics Policy

This Code of Conduct and Ethics has been thought as guidelines for all the actions we will carry out as an employee of Sanjivani Group of Institutes referred to in this policy.

Sanjivani Group of Institutes is known for its integrity and is committed to its core values. We would like you to remember that your behavior reflects this reputation and those core values in all the actions you will conduct in the Organization. The principles set forth in this document describe how you should act while you are working with us.

You are accountable for reading, understanding and adhering to this code. Further, compliance with all laws, rules and regulations related to Organization's activities is mandatory and your conduct must be such as to avoid even the appearance of impropriety. Failure to do so could result in disciplinary action, up to and including termination of employment.

If you are uncertain about what to do, refer to the relevant section of this Code. If you are still unsure, speak with your Principal or HR Department.

1.1- What are my responsibilities?

1.1.1- I follow the Code: Our Code applies equally to all our family members. As an employee, it is important that we should know and follow the Code as a guideline for decision-making that is paired with integrity.

1.1.2- I lead by Example: No matter what our role is, each one of us is expected to lead when it is a question of ethics and be accountable for our actions. We act with responsibility and integrity in tune with our core values.

1.1.3- I am the example for my Team: Most often, a Head of Institute is the first person to be contacted about a concern in our work environment. HOI have some specific responsibilities:

- Be a role model of ethical behavior.
- Encourage your team to raise issues and speak up.
- Communicate a positive message about your commitment to ethics and compliance.
- Promote our values, the Code of Conduct and compliance with policies and the law.
- Actively support ethics and compliance awareness and training programs.
- Have open avenues for communication.
- Listen and respond fairly to employee concerns.

- Find satisfactory & complete solutions to ethical issues.

1.2- Respecting Each Other

1.2.1- An equal opportunity workplace: We are an equal opportunity employer and employment decisions are based on merit and business needs. We are committed to following fair employment practices that provide equal opportunities to all employees. We do not discriminate on the basis of race, color, religion, disability, gender, national origin, sexual orientation, gender identity, gender expression, age, genetic information, military status, or any other legally protected status. The Management disapproves the internal politics, favoritism, biased treatment or pulling legs of other employee for personal benefit or out of rivalry. At Sanjivani, we value diversity and believe that a diverse workplace builds a competitive advantage. We respect and treat every individual as human being.

1.2.2- A Safe Place to Work: To work effectively, all of us need a healthy and safe work environment. All forms of substance abuse as well as the use or distribution of drugs and alcohol, Gutkha, Tobacco etc. within the premises and at work is prohibited. All of us should feel healthy and safe at place of work.

1.3- Business Ethics

1.3.1- Gifts and Entertainment: In connection with certain holidays and relevant occasions, it is customary in many parts of the society to give gifts of nominal value to government officials or local authorities or to any other parties who have a relationship with the Organization. When we make a gift to a government official or local authorities or to any third party, we should keep the following in mind:

- It is not done to obtain or gain an improper advantage.
- It is not in the form of cash
- The gift is accurately recorded in the inventory/assets/MIS and relative records;

1.3.2- Receiving gifts from outsiders: The Management discourages the practices of accepting gifts/favors from outsiders (vendors, service providers, contractors, financial institutions or associates) in any form. If any employee found accepting gift or the Management is learned about the acceptance of it later, the appropriate disciplinary action shall be initiated against the concerned employee including termination of the employee.

1.3.4- Conflict of Interest:- Activities of all employees must be lawful and free of conflicts with their responsibilities while working in Sanjivani Group of Institutes.

A “conflict of interest” occurs when your private interest interferes in any way with

the interests of Organization. In addition to avoiding conflicts of interest, you should also avoid even the appearance of a conflict.

All employees must devote their full time and energy in the best interest of the Organization.

- a. Outside Employment-** If you take part in any activity that enhances or supports a competitor position or accept simultaneous employment with any other educational institute, organization or business entity, it will be considered as outside employment, conflict of interest and a breach of trust.
- b. Working with Family and Friends-** To avoid conflict of interest and any appearance of favoritism, ensure that you do not work directly for, supervise or make employment decisions about a family member.
- c. Related Party Transactions-** You should also avoid conducting organization business with a relative or with a business in which a relative is associated in any significant role. Relatives include spouse, siblings, children, parents, grandparents, grandchildren, aunts, uncles, nieces, nephews, cousins, step relationships, and in-laws.
- d. Relationships at Work-** Personal or romantic involvement with a competitor, associates or another employee of the organization might affect your ability to exercise good judgment on behalf of the organization. This could lead to conflict of interest. Personal relationships and romantic liaisons between employees who are in a manager-employee or supervisor- supervisor or supervisor-workers reporting structure may lead to team management challenges and reduced morale. Such relationships must be disclosed to the Top Management immediately, who may take appropriate corrective action.

What should I do if I have any questions? All above situations must be disclosed by reaching out to the HR department. Remember, having a conflict of interest situation may not necessarily be wrong however your failure to disclose it will be a violation of this Code.

1.4 - Confidentiality

All the employees of the organization shall follow the rules and guidelines regarding confidentiality of the information pertaining to Sanjivani Group of Institutes and all associated organizations in strict confidence except and to the extent when disclosure is mandatory under any law in force. It is binding on employees not to discuss, disclose, communicate or transmit to others (including any other employee/ consultants/ associates/ service providers of Sanjivani) or make any unauthorized copy of or use the confidential information in any capacity, position or business unrelated to Sanjivani and unauthorized by Sanjivani . This shall also cover the information about stakeholders which includes but is not

limited to details of academics, faculty, research, curriculums, work manuals/processes, internal/external communications, purchase orders, rate/price lists and salary details of self or others.

In case of violation of this policy, the Management reserves the right to take strict disciplinary action and/or appropriate legal remedy to protect the interest of institute and recover losses against the concerned employee.

1.5 - Intellectual Property

During the course of employment if any employee conceive any new or advanced method of research, teaching, improving designs/ processes/ formulas/ work systems, etc. in relation to the business/ operations of the Institute, such developments shall be fully communicated to the Management and will be, and remain, the sole right/ property of the Institute and patents/ intellectual property rights of the same, if any, shall be in the name of the Institute. Any use of such data in a purpose not related to Sanjivani, whether during the course of employment or till 2 years after separation from employment, shall constitute an infringement on Institute's rights and commercial interests and Sanjivani shall be within rights to take appropriate legal action to claim relief/ compensation from losses arising out of such infringement.

1.6 Discipline & Behavior

- a. Political activities:** As an individual, each employee of the Institute retains all rights and obligations of citizenship enshrined in the Constitution of India. However, no employee of the Institute is allowed to be a candidate for a political party seeking votes while being employed with the Institute, or take part in a political employment campaign while on duty.
- b. Disruptive Behavior:** While honoring the freedom of expression and the right to Peaceful dissent of an individual, the Institute in the best interests of orderly operation and preservation of an environment favorable to productive study, has adopted a policy prohibiting disruptive behavior on the part of any student, faculty or staff member. The institute stipulates that any employee, acting individually or in connivance with others, who clearly obstructs or disrupts or attempts to obstruct or disrupt any teaching, research, administrative, disciplinary, or public service activity, or any other activity authorized to be discharged or held on the campus of the Institute is considered to have committed an act of gross indiscipline and is subject to disciplinary action that may include termination of services.
- c. Unacceptable Behavior:** Following are examples of actions, which are unacceptable to the institute and may attract disciplinary action including termination of employment:

- Insubordination
- Theft
- Conviction of a felony involving moral turpitude
- Bringing discredit to the Institute
- Falsifying, grafting, or forging of any record, report, or information
- Discourteous behavior
- Unauthorized absence from assigned work area
- Sleeping on duty
- Negligence
- Dereliction of duty
- Interfering with the work performance of another employee
- Favoritism
- Wasting materials
- Willful damage to equipment or property of the Institute
- Entering an unauthorized work area
- Continued failure to perform assigned duties
- Failure to report absence, Habitual absence or tardiness
- Job abandonment.
- Any other misconduct interfering with performance of job tasks

1.7- Disciplinary Actions

- The matters covered in this Code are of the utmost importance to the organization, its and its business partners and are essential to the organization's ability to conduct its business in accordance with its stated values and principles.
- We expect all our employees shall follow the guidelines given in the Code of Conduct.

2. Recruitment & Selection Policy

2.1- Purpose:

Effective recruitment and selection is central and crucial to the successful functioning of Sanjivani. It depends on finding people with the necessary skills, expertise and qualifications to deliver the Organization's strategic objectives and the ability to make a positive contribution to the values and aims of the institute.

The Recruitment and Selection Policy shall be:

- Fair and consistent,
- Non-discriminatory on the grounds of sex, race, religion or disability,
- Conform to statutory regulations and agreed best practice.

To ensure that these policy aims are achieved, all the Managers will be given training in effective recruitment and selection process.

2.2- Policy Guidelines: -

1. Recruitment for all the positions shall be routed through HR department. The candidates recruited in violation of the policy shall be deemed as invalid recruitment.
2. HR department will maintain the resume data bank. Sanjivani group employees can forward the prospective CVs to HR department for future reference.
3. HR department shall follow the given guidelines for recruitment and not to recruit any candidate out of influence or for any direct/indirect advantage arising out of it.
4. No employee may be associated in any way with the recruitment and selection policy at any stage where a close relative or friend of an employee is an applicant and no employee should be involved in salary negotiation.
5. For Professor& above level selection process must involve reference check of the candidate from previous employer.
6. Re-recruitment of ex-employees shall be allowed only if the candidate has resigned one year back (with a gap of 12 months) and willing to join back on his own. However the candidate will not be considered for re-recruitment if he/she has terminated/resigned on the grounds of poor performance, theft, ethical issues or for violation of values of our Organization.
7. Salary hike for new recruits is a part of the recruitment process, however while issuing offer letter internal salary parity has to be considered. In order to ensure salary parity between grades, employee salary will be based on minimum, average and maximum salary in that band and based on his role before giving salary hike, as prescribed below. While calculating salary hike below median salary should be considered. CTC is inclusive of all components. Said CTC may be revised after annual appraisals are being released.

8. HR department will prepare CTC structure for new recruit as per salary band. Salary hike on the existing should be given in consultation with Management. Any deviation should be approved by Principals only.
9. Travel / incidental expenses will not be paid to the local candidates appearing for interview within the radius of 100 KMs.

2.3 Employee Referral Policy:

Purpose:

To leverage our employees' social and professional network to identify & attract competent talent in the organization.

This program would ensure that:

- Quality CVs are received by HR department
- The prospective employee gets an insider's view of the organization before making the career decision
- Organization leverages on employees' professional network
- Employee gets rewarded for the referral and also gets a friend on-board

Eligibility

All employees of Sanjivani Group of Institutes can refer a candidate for the given position.

Exceptions (Not eligible for reward)

- Immediate Head of Institute/Reporting Authority of potential employee
- Person responsible for hiring decision.
- HR department team members

The Scheme

An employee may refer individuals who fit and can be hired for the given vacancy. The referred candidate will undergo the regular recruitment process. The employee's involvement would be limited only to the submission of the resume. There should be no specific canvassing by the employee

Note:

- 1) The H.R. department will initiate the payment of referral bonus as per schedule and transfer payment in the account of employee.
- 2) Any tax liability arising out of the scheme would be borne by the employee.

2.4 - Probation Period & Policy:

Probation: Probation means an appointment made on trial on specified conditions for a stipulated period to a post for determining one's fitness for the job. With the

exception of certain employees, all regular employees serve the first two years of employment on probation.

Temporary appointment: It means appointment made purely on temporary basis either for a permanent post or in tenure post or against a temporary post. With the exception of certain employees, all regular employees serve the first twelve months of employment on a temporary basis.

2.4.1 Evaluation in Probation Period: Probation period allows the employee's Principal to evaluate the ability, suitability, and potential for success of the employee. It also allows time for the employee to decide whether or not the job is satisfying. Fifteen days prior to the completion of probation period, the Head of the Institute, based on his / her evaluation, will intimate an employee about his performance / non-performance. Should the

Principal agree with the evaluation, the employee shall be continued in, service else, he / she may be terminated from service. In case of termination of services the employee loses the right to appeal.

2.4.2 Continuance of Probation: If the employee's service during the probationary period is deemed unsatisfactory but if it is determined that the employee should continue in a probation status rather than being terminated, the recommendation that the employee remain in a probationary status should be forwarded by the Head of the Institute to the Management. In all such instances, the employee must be counseled and notified in writing regarding the extension of the probationary period.

3. General Administrative Policy – Office Timing & Working Hours

3.1 - Purpose:

The purpose of this policy is to create awareness among employees about the rules and regulations related to office timing and attendance.

3.2 - Scope:

Time & attendance policy applies to all employees of the institute, regardless of their length of service or type of employment contract.

3.3 - Policy:

3.3.1 - Bio-metric Attendance System:

- It is mandatory for employees to punch on bio-metric system at the time of coming & leaving the office.
- Employees shall take utmost care while doing the punch in the system and avoid incidences of miss-punch.
- If any employee found doing the miss-punch continuously, the appropriate disciplinary action may be taken against the concerned employee.
- The employees required to travel outstation or go outside of office for work related matters, shall fill up on duty-form and submit the same in the office. In case of non- submission of the form, the concerned employee shall be marked as absent.

3.3.2 – Working Hours:

Taking into consideration the nature and work priorities of various institutes, the work hours/schedules may differ institute to institute to suit the work requirements. However the week days and applicable standard work hours are –

Working Days	Monday to Saturday
Timing	7.15 am to 3.15 pm. Lunch Break : 40 minutes Tea Break: 30 minutes

3.3.4- Weekly off:

First & Third Saturday and All Sundays shall be the weekly off.

3.3.6- Late coming:

Employees are expected to arrive at work on time. If an employee anticipates late arrival he/she must inform the immediate Reporting Authority (or a colleague in case the immediate Reporting Authority is not available) in advance to avoid

inconvenience/disturbance of work. Lapses in punctuality will not be acceptable.

3.3.7- Change of Working Schedule/Week:

Any change of work schedule/ week / breaks / work timings etc. shall be with the prior approval of the Management. The Management may intervene when a deviation that is not suitable to the HR policies of the institute is noticed. All employees will be informed from time

to time of any changes made by the Management in this matter. It is the responsibility of each employee, however, to ensure that the Management has made aware of the change in workweek or timings etc. that he / she have been assigned.

3.3.8 – Overtime

The Management discourages the practices of working beyond office hours and does not propose the policy of paying overtime charges to any category of employees.

3.3.9- Compensatory Off (Comp off)

To meet the work schedules and priorities the employees may have to attend office and work on weekly off and declared holiday as per situation. However the employees shall be entitled to get the compensatory off in exchange of working on weekly off/holiday.

4. Leave and Vacations Policy

4.1- Purpose:

This policy encourages its employees to take a break from routine work as this provides healthy, stress free and more productive staff.

4.2 – Scope:

The scope of the policy and guidelines applicable are defined as per MSBTE Mumbai, PCI and applicable authorities defined by Central and State Government of Maharashtra.

4.3 – Policy:

The leave can be broadly classified under:

- I. Casual Leave [CL]
- II. Medical Leave [ML]
- III. On-Duty Leave [OD]
- IV. Maternity Leave [MA]
- V. Compensatory Off [C.OFF]
- VI. Study Leave [SL]
- VII. Earned Leave [EL]
- VIII. Special Leave [SP]
- IX. Leave without Pay [LWP]

i. Casual Leaves [CL]:

- a. All employees are entitled to 12 days of CL, or part thereof, in a calendar year depending on the date of joining. CLs are to be used at the discretion of the employee, subject to the approval of the Head of the Institute. Unused CLs do not get carried over to the subsequent academic year under any circumstances. CLs entitled to employee for the year can be availed proportionately in the same academic year.
- b. Not more than 3 CLs can be availed in continuation. The Holidays or Weekend days that are sandwiched in the CL duration are counted as CLs.
- c. Casual Leave must not be prefixed or suffixed to vacation or any other type of Leave, except OD.
- d. It is necessary to get prior sanction of CL by reporting to the authority.
- e. In case of emergency, telephonic intimation is acceptable to reporting authority and not through the subordinate. All CL forms must necessarily be sanctioned by the Principal and further submitted to Administration office Department. CL of Principal is sanctioned by the Management. The application of CL if not submitted before, it is to be submitted within four days from the date of availing

- it.
- f. CL cannot be equated with ML or vice –a-versa.
- g. In the event of transfer of an employee the unused CLs are carried over.

ii. **Medical Leaves [ML]:**

- a. All regular employees are entitled to 10 days of full pay ML, or part thereof, in a calendar year depending on the date of joining. An oral (in exceptional cases) or written request will be required for availing ML due to illness or injury.
- b. Request for extension of ML will be considered by the Principal/ Management. An employee returning from ML will be required to submit a physician's certificate and a fitness certificate. The services of the Institute's medical officer may be utilized for this purpose.
- c. For three days Medical Leave there is need to produce Medical Certificate authorized by MBBS doctors.
- d. Scheduled Absences: Planned absences and other excused absences with or without pay must be requested and approved in advance. Medical appointments and scheduled surgery must also be approved by the Head of the Institute /Management.
- e. Unscheduled Absences: Unplanned absences can be very detrimental to work place efficiency. In case of sudden illness or other unexpected circumstances, an employee should notify or arrange to notify his/her superior immediately. If this is not possible, a family member is expected to alert the Principal as soon as possible to explain the situation and indicate the expected date and time of return.
- f. Unused MLs will be carried forward into the subsequent year[s]

iii. **On Duty Leave [OD] :**

OD is granted to an employee when the MSBTE / Principal / or any other competent authority assigns a duty that has to be carried out for the institute,

- a. On Duty Leave for MSBTE Examination Work: 24/ Year/ Person.
- b. On Duty Leave for outside MSBTE work: 10/Year/ Person.

iv. **Maternity Leave [MA] and Paternity Leave [PA]:**

Maternity leave may now be granted to a female teacher for 180 days and only twice in one's career. Likewise a paternity leave of 15 days may be granted to a teacher father.

- a. A lady employee with minimum 2 years of continuous service is entitled to a maternity leave on full pay and allowances for a maximum period of 180 days subject to the submission of a medical certificate.
- b. A lady employee with minimum 1 year but less than two years of continuous service is entitled to maternity leave without pay and allowances for a maximum period of 90 days subject to the submission of a medical certificate.

- c. In all other cases the Principal fixes a period of leave to be granted as Maternity Leave without pay.
- d. A lady employee, availing MA, who does not join services within the prescribed period, will have to defend her case to the department head. In case of recommendations, the Principal reserves the rights to consider the continuity of services. The maternity pay benefit also may stand forfeited even in case of reinstatement of the employee.
- e. Not more than 2 MAs can be availed by a lady employee while in service at the Institute.

v. **Compensatory off [Comp.Off.]:**

- a. Only the teaching, administrative and supporting staff, who works on holidays will be entitled to CO for an equal number of days that they have worked.
- b. Comp Offs cannot be attached to casual leave. Comp off shall not be availed when the academic sessions are in progress.
- c. If Comp offs are availed in continuation for 6 days from Monday through Saturday, the following weekend days will be treated as weekly off and not as Comp.Offs.
- d. Comp off cannot be carried over to the next year.

- e. Examiner-ship: No extra payment or compensatory leave [in lieu for duty on weekly offs or holidays] is provided for doing examiner's duty. Examiner-ship will be considered as on duty for record.

vi. Study Leave [SL]:

- a. SL of maximum six months is granted to an employee who has served the Institute for a period of minimum five years without break in service. This leave is meant for pursuing higher studies, undergoing skill up-gradation, research work career advancement etc. The employee is entitled to pay 50 % during the period of study Leave.
- b. Approval of Study Leave is purely based on employee progress in the Institution and PhD progress after the registration.
- c. Faulty member who like to apply for the study leave during his/her course work will be approved by converting their vacation leave to complete the course work.
- d. After completion of research (PhD) the faculty members must serve for three years from the date of grant.

vii. Earned Leave [EL]:

If any staff is detained for completing a specific task assigned by his / her superior and is unable to avail the vacation / holiday period, that he / she is otherwise eligible for, adequate compensation, shall be given in the form of EL. The duration of EL is half number of days that he / she have been detained for the specific task in the vacation / holiday period. Employees should avail such EL during non-active period of the semester.

viii. Special Leave [SP]:

An employee can go on SP with prior sanction, during which no salary and allowances will be applicable, when no other type of leave is available.

ix. Leave without Pay [LWP]:

If proper documents duly signed are not submitted in stipulated time to the Registrar, leave may be treated as LWP.

- a. A leave of absence without pay is granted when the requirements of the Institute permit and when such leave is for prolonged illness or injury extending beyond accumulated vacation or medical leave; or for any exceptional personal or institutional reason.
- b. Any regular employee is granted a leave of absence without pay when approved by the proper authority in order to preserve the employee's employment rights and benefits.
- c. A leave of absence may be granted only if the employee has a bonafide intention to

return to the Institute following the leave. Only in exceptional situations should a leave of absence be granted to an employee having less than one year service.

- d. Upon the expiry of a leave of absence, an employee is eligible for reinstatement to the former position or to one of similar requirements and compensation in the same department or division from which the leave was granted.
- e. Should a position be not available upon the expiry of the leave of absence or return to work, the Head of the Institute may request the management for an extension until such time as a position for which the employee is qualified becomes available.

4.4 - Process to Sanction Leave:

Registrar must sanction the leave application form of an employee before forwarding the same to the Principal. All leaves except CL and ML must be notified to the Principal within 4 working days in advance or else they will be treated as LWP. The sanctioning authority of all types of Leaves for the Faculty, Technical Staff, and Administrative Staff shall be the Principal while the Registrar shall sanction the Leaves for supporting staff. The Principal shall get his leave sanctioned by the Managing Trustee.

4.5 - Vacations Policy:

a. Category of Employees:

Employees in the organization are of two types;

- i. Vacational employees that constitute the Faculty and Technical staff who are eligible for summer and winter vacations and
- ii. Non- vocational employees that constitute the administrative and supporting staff who are not eligible for summer and winter vacations.

- b. Using Vacation / holidays: All regular and probationary employees who have prior recommendation approval from the Principal are eligible for availing vacation.
- c. Employees who have exhausted their vacation, with the approval of the Head of the Institute can take CL in whose absence LWP can be taken in exceptional circumstances. As far as possible employees may take vacation / holidays in the slots allocated for the same. Only the Principal can allow any exceptions.
- d. Any balance of unused accumulated vacation / holiday time is transferred along with an employee being transferred from one department or campus to another. Vacations /holidays however cannot be carried forward, under any circumstances.

Summer Vacation Period

Period of Service	Vacation Period
Less than 1 year	10 Days
Less than 2 years	20 Days
Less than 3 years	30 Days
Less than 4 years	Full vacation as per MSBTE norms

Winter Vacation Period

Period of Service	Vacation Period
Less than 1 year	6 Days
Less than 2 years	12 Days
Less than 3 years	18 Days
Less than 4 years	Full vacation as per MSBTE norms

Guidelines & Rules for recommendation of vacation :-

- i. Prefixed / sandwiched/ suffixed Saturdays, Sundays and holidays are counted as a part of the vacation/ holidays.
- ii. Vacation / holidays may be taken in one / two slots. Only on the recommendations of the Principal shall exceptions be allowed.

- iii. All remunerative duties like supervisory duties/ examination duties/ central assessment duties shall, as far as possible, fall within the vacation/ holidays. Such duties being mandatory, the employee and the Head of the Institute must take utmost care while recommending the vacation/ holiday period.
- iv. Vacation / holidays can be recommended by the Principal, if all the departmental work, MSBTE/ DTE work, other duties are completed. All the records and documents should be handed over by the concerned employee to the Head of the Institute before proceeding on vacation/ holidays.
- v. Vacational staff availing vacation must be present on the first and last day of each term, unless otherwise sanctioned by the Head of the Institution.
- vi. All the employees proceeding on vacation/holidays must give all necessary details in the vacation/ holiday format available with respective Head of the Institute.
- vii. Head of the Institute shall ensure that the regular functioning of the department is not hampered and that no work is held up merely due to the non-availability of an employee by way of his/ her availing vacation/ holidays

5. Local Travel Allowance Policy

5.1- Scope:

This policy aims to provide guidelines to employees for claim of expenses for local travel expenses.

5.2- Local Conveyance:

The employee required to use (2 wheeler or 4 wheeler) personal vehicle for office use shall be paid travelling expenses as per below guidelines:

Mode of Transport	Travelling Allowance	Eligibility
Two wheeler (Own)	Rs. 2.00 per km.	All Staff
Four Wheeler (Own)	Rs. 8.00 per km	With at least two other members or Group of at least three staff members
Auto	At actual	All Staff ,if carrying heavy Material

6. Outstation Allowance Policy

6.1 Purpose:

The employees required to travel outstation for office work are entitled for reimbursement of expenses as per below eligibility (subject to prior approval of Management for the tour and eligible expenses).

6.2 Scope:

Policy is applicable to all employees working in the Organization.

6.3 Policy:

a. Approval for Tour:

- Before leaving for tour, the employee shall fill up the Tour card and take approval from Principal/Management and submit the card to HA Department.

b. Advance for Tour Expenses:

The employee shall fill up the tour advance slip with expenses details and advance required. The tour advance shall be applied minimum 4 working days before leaving on tour. The tour advance will be paid in cash or transferred in the bank account as per convenience.

c. Submission of Tour expenses:

The expense statement shall be submitted in the prescribed format along with the approval of Principal/Management within 2 days from the date of return. It will be mandatory to submit the tour report along with expense voucher. The original bills are required to be produced for claiming travelling and lodging expenses.

6.4 Outstation Travel by Car:

Guidelines for hiring taxi for outstation travel:

- a. Traveling with at least two other staff members.**
- b. If minimum three staff members are traveling together to a same location.**

6.5 Allowances (DA) & Eligibility:

Grade/ Position	Mode of Travel	Eligibility for lodging per night		DA/ Food Allowance per day	
		“A”	“B”	“A”	“B”
Principal	For short distance AC Car / Chair Car For long distance II AC Rail/ AC Volvo Bus	2000	1500	200	130
Teaching Staff	For short distance Luxury Bus/ Volvo Bus For long distance III AC Rail	1800	1200	200	130
Technical & Non-Teaching Staff	For short distance Bus For long distance II Sleeper Class	1000	800	200	130

- “A” Class Cities: - Mumbai, Delhi , Calcutta, Chennai, Bangalore, Hyderabad.
- “B” Class Cities: - Cities other than above.

7. Terms of Employment Policy

7.1 - Purpose:

To provide clear and transparent terms and conditions of employment that is in accordance with all the legal requirements.

7.2 - Scope:

Policy is applicable to all employees working in the Organization.

7.3 - Terms of employment:

- The terms of employment are as mentioned in the appointment letter. Organization reserves the right to amend, alter, and change any or all the terms and conditions governing employment. Organization shall be the sole judge of the meaning and interpretation of all or any of these terms and conditions and its decision thereon shall be binding on all employees.
- The employment contract is a contract between the individual employee and the Organization and the terms of contract are individual to each employee. Hence, all employees are required not to share the terms of contract with others including fellow employees.

7.4 - Joining process:

The copies of the following documents shall be submitted by an employee on the date of joining:

- PAN card/ AADHAR Card/ License/ Passport copy (optional).
- Proof of age (birth certificate/school leaving certificate);
- Educational certificates.
- Marriage certificate (if candidate is married)
- Photos
- Offer letter & Experience letter from the previous employer (if applicable);
- Bank statement confirming the amount mentioned in salary slip or Salary slip of last three working months.

7.5 - Appointment letter:

Appointment letter shall be issued to employee upon satisfactory completion of joining formalities. Original to be retained by the employee; and one signed copy to be handed over to organization by the employee.

7.6 – Notice period:

As per the terms of employment, it is mandatory for employee to complete assigned notice period and handover formalities before leaving the organization. In case of violation of the above policy, the Management reserves the right to take appropriate legal action against employee for violation of employment contract.

8. Promotion & Transfer Policy

8.1 Purpose: This policy is defined to provide guidelines with regard to promotions and transfers taking place within the institute or group of institutes.

8.2 Scope: Policy is applicable for all employees of the institute.

A) Promotion: A promotion is the upward movement of an employee to higher position/responsibilities as a token of consistent performance & high potential. Merit and competencies shall be the mandatory norms before promoting any employee to the higher position. The Management reserves the right to change the compensation/terms of employment associated with the higher position.

B) Transfer: Employees are liable to be transferred in their own designation, grade and rate of pay from one department to another within the same institute or associated or affiliated Organizations as per work requirement. A lateral transfer is when an employee moves from one position to another position that is on the same pay scale regardless of the title of the new position.

8.3 Policy & Guidelines:

- A faculty desiring of promotion to a higher post faces the Selection Committee and only on the recommendations of the committee he /she is granted promotion. -
- When an employee is promoted either on applying for an advertised position or via the reclassification process the concerned employee may receive remuneration based on an employee's exceptional experience and/or education and job responsibility.
- Employees are encouraged to apply for any position for which they are qualified and should contact the Registrar for specific information.
- Transfers and promotions during probation period are subject to an administrative approval for the same, by Principal.

9. Group Accident & Mediclaim Insurance Policy

9.1 – Purpose:

The objective of this policy is to safeguard the employees against personal accidents/injuries arising during the course of employment & provide relief during hospitalization and related expenses. .

9.2 – Scope:

The policy applies to all employees of the Organization.

9.3 Group Accident Insurance Policy

The Organization contributes to a Group Personal Accident Insurance Policy covering all the eligible employees on the roll. The Policy provides for payment of compensation to an employee in the event of his meeting with an accident, except under circumstances listed in the Policy. The “sum insured” is individualized and actual compensation is dependent upon the nature of disability suffered by the employee so insured. The scheme is centrally handled by the HA Department.

9.4 Medical Insurance Policy:

To provide relief in the form of reimbursement of hospitalization expenses or for cashless hospitalization in case of medical sickness/emergency, we have obtained the medical insurance policy in the name of Organization. The eligibility and other details of policy are available with HA department.

10. Compensation and Benefits Policy

10.1 Purpose:

This policy deals with the Compensation and Benefits payable to all regular employees of the Organization as per applicable eligibility criteria.

10.2 Scope:

This policy applies to all regular employees as per grade and designation structure.

10.3 Eligibility:

The policy is applicable for all employees of the organization from the date of joining or as per applicability.

10.4 Policy Guidelines:

10.4.1 Type & fixation of Initial salary:

In general, the type and fixation of initial salary is subject to statutory requirements like those of the PCI. Salary is fixed at the discretion of management.

- a.** For non-teaching staff consolidated salary is paid at the time of joining till regularization of salary on the basis of individual performance. Salary fixation is dependent upon post, qualifications, experience as well as employees service at Sanjivani Group of Institutes. It is fixed as per management decision.
- b.** Salary and Increments as per pay commission / Pay Scale cadre wise: Teaching and Non-teaching staff is eligible for getting pay scale as per eligibility, experience, MSBTE/ DTE approval and management's discretion. Salary is fixed as per the Regulation.

10.4.2 Payment Mode of Salary:

Every employee opens a salary account at Bank and the salary is transferred to employees' account.

10.4.3 Salary Increments:

- i. Time scale of pay: Time scale of pay means a scale in which the salary rises, subject to the conditions prescribed in the statutes. Every employee is entitled to an annual increment in salary subject to the recommendations of the Head of the Institution as per the requirements of government pay scales, PCI etc. The recommendations based on the performance appraisal of the employee are reviewed by the Principal. Annual increments, in general, will be paid in the month of July of every calendar year.
- ii. Debt Repayment and Monetary Responsibility: The Institute is authorized to

withhold paychecks or deduct from paycheck amounts owed by employees of the institution for any fine, fee, penalty, or other financial obligation(s) to the Institute or under the legal compliances and statutory obligations.

- iii. Payroll Schedules: Employees are paid for all the days of the month. Payment is directly deposited with a designated bank in the individual's account or given in cash for employees who are paid for visits or whose job is menial in nature of employment. All employees are advised to open a savings bank account in designated bank and intimate the account number to Accounts Department in writing within 7 days from the date of joining.
- iv. Higher remuneration: The institute is authorized to pay higher remuneration on a case-to- case basis depending on the merit of the case. When offering an employee more than the minimum remuneration, the Management will review the salaries of similar positions in order to avoid creating any disparity among salaries of similar staff.

10.4.4 Deductions from Salary:

- i) Statutory & Welfare Deductions: The statutory and welfare deductions (Provident Fund, Professional Tax etc.) are deducted wherever applicable. An employee may also authorize deductions for institute-sponsored health benefits, insurance, and employee's emergency fund wherever applicable. All other deductions will be notified to the employees. Employees are not allowed to commit any deductions from salary directly to any outside agency / bank / financial institution / co-operative society, etc without explicit written permission by the Management / Principal.
- ii) Income Tax: It is mandatory that all staff must present their investment/exemptions details as per the provisions of Income Tax Act to the HR department by the end of January every year. The supporting documents with regard to the investments/exemptions shall be submitted by the end of March every year to finalize the tax liability of the year.

10.5 Facilities:

Benefits and facilities are offered at the discretion of management based on the employee's contribution to the institute. It requires approval of management and is considered to be a part of salary.

- i. Allotment of staff quarter: Limited facility is available for Principal and staff who are required to be all time on campus e.g. security.
- ii. Chauffer driven car: This facility may be made available to principal and selected employees according to their work profile.
- iii. Car petrol allowance: This facility is available to principal and selected employees

according to their work profile subject to the discretion of the management.

iv. Travelling Allowance: Travelling allowance is given for official travel to staff if required.

Welfare activities for employees:

- i. Free / Concessional medical Facility: A small dispensary and doctor is available at the campus. Emergency medical facility in the form of ambulance is available.
- ii. Tuition fee concession to wards of employees studying in SRES's institution: Wards of employees studying in SRES's institution can avail concession @ 50% in Tuition fees.
- iii. Group insurance scheme for employees: Sanjivani Group of Institutions has implemented to all teaching and supporting staff.

Promotion, Benefits & Incentives:

- a. **Honorarium:** means payment granted to the teachers as remuneration for special work or work of an occasional nature.
- b. **Incentive:** Employee may receive incentives in the form of additional increments every year depending upon the students' feedback and performance appraisal results.
- c. **Promotion:** Employee is promoted to higher cadre depending upon their capability and initiative.

- d. Medical benefits & Allowances:** All employees avail the facilities provided by a doctor on campus who is present during the working hours and is also available on call during emergencies. The medical officer keeps personal medical records of all employees and offers medical check-up and medical assistance. All the employees may avail the mediclaim facility at their own will as per the recommendation of management.
- e. Children Education Allowances:** Children studying in SRES institutes and whose parents are employees of Sanjivani Group of Institutes can avail of a waiver of 50% on the tuition fees.
- f. Consultancy Assignments:** The Institute or colleges should be encouraged to accept consultancies, direct projects, register patents, R&D Products and technology transfers as a part of their academic duties. This would help the society at large to benefit from the professional inputs by the academic community and contribute directly to societal development. University Grants Commission should also lay down detailed guidelines for carrying out consultancy work since this would help transparency and uniformity in such work. Amount received is shared in the ratio of 70:30 between the teacher and the institution respectively.
- g. Contributory Provident Fund:** Contributory Provident Fund Scheme is made available to all employees after joining the service under the roof of SRES.
 - i. Staff Welfare Fund:** Employees can avail the partial withdrawal of SWF in any medical emergency or any other circumstances.
 - ii. Sanjivani Tantrashikshan Karmachari Sahakari Patsantha: (TSKPT):** Employees can avail the loan facility after becoming a permanent member of TSKPT up to long term loan-13 Lakhs and short term loan-50k.
 - iii. Gratuity:** Employees who are permanently approved can avail the Gratuity after completing 5 years of service in SRES.

11. Employee Engagement

Employee Engagement is defined as the extent to which an employee feels committed to an organization and achieving its stated or unstated objectives.

The Sanjivani Group of Institutes Engagement Model considers 10 drivers of Engagement as mentioned below:

Drivers of Engagement	Description
Career Development & Growth Opportunities	My future growth opportunities look good here
Communication	Overall, my communication needs are being met
Compensation & Benefits	I am appropriately paid for the contributions I make to the Organization's success
Clarity of Role & Responsibilities	I have clarity about my role and responsibilities
Performance Management System	Performance assessment is done periodically to measure my performance against pre-defined goals and performance indicators. I get feedback about my achievements/areas of improvements.
Policies and Procedures	The policies and procedures create a positive work environment for me
Rewards & Recognition	I receive adequate recognition (beyond compensation) for my contributions/ accomplishments
Leadership	I see strong evidence of effective leadership from Senior Management
Work Environment & Culture	The physical working conditions are appropriate for the work I do.

In Sanjivani, we take fun @ work very seriously. It is our belief that an engaged and happy employee will excel at his work. Given the demographics and the sheer diversity of locations in which Sanjivani Group of Institutes operate, engagement is a challenge.

Sanjivani Group of Institutes has many location specific Fun @ work interventions such as-

- Festival celebrations
- Recreation & out bound programmes
- Sports and recreation activities
- Employee Get Together.
- Family Association

12. Personnel File Maintenance Policy

12.1 - Purpose:

To maintain personnel files, for employee confidentiality, for medical privacy and for legal compliance.

12.2 - Scope:

A personnel file is an employer's saved documentation of the history and status of the entire employment relationship with an individual employee.

12.3 - Policy Details:

12.3.1 – Personnel File Maintenance-

Employee's personnel file contains necessary job-related and personal information and maintained by the HR department. Each employee should have only one personnel file.

12.3.2 - Personnel File Contents-

The personal file shall contain the personal, academic and previous employment related documents and records. The documents/records include:

- Resume
- Employment Form
- Academic Certifications
- PAN/AADHAR card details.
- Relieving, salary slips/bank account statements and experience certificate from previous employment
- Job description.
- Appointment letter.
- Performance evaluations and information about other employment-related actions (e.g., promotions, training, or corrective action),

Information placed in the personnel file can be shared with the employee if required and with the approval of HA Manager Unsolicited and anonymous materials will not be included in the personnel file unless there has been a finding of fact through an existing investigatory process.

Records contained in the Human Resources Information System are considered part of the personnel file.

12.4 – Record Retention:

- Personnel files must be retained for three years from the date of separation from the Organization. Records of sick leave balances and workers' compensation records must be maintained for at least 5 years from the date of separation.
- HA department must ensure adherence to the records retention schedule.

12.5 - Access to Personnel Files:

Personnel files are maintained by the Human Asset Department and are considered confidential. Reporting Manager and Human Asset representatives may only have access to personnel file information on a need-to-know basis.

Manager considering the hire of a former employee or transfer of a current employee may be granted access to the file.

These files are to be reviewed in the Human Asset Department and should not be taken outside of the department.

13. Organization Asset Policy

13.1 - Purpose:

This policy monitors the issuance and utilization of company assets/equipments issued to employees for business purpose.

13.2 – Scope:

This policy applied to all employees of Sanjivani Group of Institutes who are in the possession of office property/equipments owned by the Organization.

13.3 – Definition:

Assets include drawings, files, machinery, equipment, vehicles, office furniture, equipments; it also includes current and non-current, short-term and long-term, operating and capitalized, tangible and intangible asset.

13.4 – Policy:

13.4.1- Asset Issuance Policy:

- As and when any asset/equipment is issued for the official use to any employee, the record should be maintained by the HA department in his personal file and in the assets register. The HA department shall take the undertaking from employee in the provided format.
- In case of resignation, the concerned employee shall submit the asset/equipment to HA department before leaving the Organization. The HA department shall check the asset and certify about its condition before signing the clearance format.

13.4.2- Asset Usage Policy:

Organization Confidential Information: For the Organization, its confidential information is a valuable asset and every director, employee and agent of the organization must protect it. Confidential information includes all non-public information (regardless of its source) that might be of use to the Organization's competitors or harmful to the organization if disclosed. We must take care that all confidential information is used for organization's business purposes only.

Upon joining, all employees sign a Confidentiality and Nondisclosure Agreement which details their confidentiality obligations to the Organization. As employees, we have access to significant amounts of information that may not be available to the public, and we should preserve the confidentiality of information obtained during the service. Information of a confidential, private and sensitive nature must be used responsibly and controlled and protected to prevent its prohibited, arbitrary or careless disclosure.

Improper Opportunities: When we receive information as part of our job, we should not trade with it for our personal benefit. Neither should we pass on the information to our friends and family members or indirectly compete with the organization. Information obtained as part of our job should not be taken advantage of even after we leave the organization.

Intellectual Property: The intellectual property (IP) must be protected as a vital business asset. Our IP portfolio includes copyrights, patents, trademarks, service marks, trade secrets, design rights, logos, brands and know-how. We must use our IP focusing on protecting these assets. It is important to ensure that to the extent permitted by law, the rights to all IP created using the organization's time and expense that which are within the scope of our duties are assigned to and are the property of the organization.

Providing Information to the Media: To protect our confidential information from misuse and to ensure that only accurate information about the organization is disclosed, we have designated our Publicity department to handle exchanges with the media.

Use of Assets: The use of assets for individual profit or any unlawful, unauthorized personal or unethical purpose is prohibited. Our information technology, intellectual property (e.g., copyrights, patents, and trademarks), facilities, equipment, machines, software, and cash may be used for business purposes only, including responsible and accurate expense reimbursement, and in accordance with applicable policies. Other assets (e.g., computers, printers, and copiers) may be used for minor and incidental personal purposes provided such use is kept to a minimum, and does not create any significant incremental costs, interfere with work duties, or violate any laws or organization name policies. The use of any organization name resources for personal political activities is prohibited.

14. Internet, Email, Social Media & Mobile Usage Policy

14.1 - Use of Internet at the Office:

The internet is provided by Sanjivani Group of Institutes for business use. Limited private use is permitted if the private use does not interfere with a person's work and that inappropriate sites are not accessed e.g. pornographic, gambling, social networking. The Management has the right to access the system to check if private use is excessive or inappropriate.

Failure to comply with these instructions is an offence and will be subject to appropriate investigation. In serious cases, the penalty for an offence, or repetition of an offence, may include dismissal. Staffs need to be aware that some forms of internet conduct may lead to criminal prosecution and in such circumstances the Management may file police complaint against such employee.

14.2 - Use of Email:

1. Email facilities are provided for formal business correspondence.
2. Take care to maintain the confidentiality of sensitive information. If emails need to be preserved, they should be backed up and stored offsite.
3. Limited private use of email is allowed if it doesn't interfere with or distract from an employee's work. However, Management has the right to access incoming and outgoing email messages to check if an employee's usage or involvement is excessive or inappropriate.
4. At the time of sending bulk mails, write self-email id in the recipient email id (To) and add bulk email ids in the Bcc column.
5. Non-essential email should be deleted regularly from the Sent Items, Inbox and Deleted Items folders to avoid congestion.
6. All emails sent must include the approved business disclaimer.

To protect Sanjivani Group of Institutes from the potential effects of the misuse and abuse of email, the following instructions are for all users:

1. No material is to be sent as email that is defamatory, in breach of copyright or business confidentiality, or prejudicial to the good standing of Sanjivani Group of Institutes in the community or to its relationship with staff, customers, suppliers and any other person or business with whom it has a relationship.
2. Email must not contain material that amounts to gossip about colleagues or that could be offensive, demeaning, persistently irritating, threatening, and discriminatory, involves the harassment of others or concerns personal relationships.
3. The email records of other persons are not to be accessed except by Management (or persons authorized by Management) ensuring compliance with this policy, or by authorized staff who have been requested to attend to a fault, upgrade or similar situation. Access in each case will be limited to the minimum

needed for the task.

4. When using email a person must not pretend to be another person or use another Person's computer without permission.
5. Excessive private use, including mass mailing, "reply to all" etc. that are not part of the person's duties, is not permitted.
6. Failure to comply with these instructions is a performance improvement offence and will be investigated. In serious cases, the penalty for breach of policy, or repetition of an offence, may include dismissal.

14.3 - Use of Mobile in the Office

As mentioned in the code of conduct, use of mobile phone for personal calls during the office shall be avoided. In case of any emergency, the duration of call shall be maintained short. Disciplinary action can be taken if anyone is found speaking excessively on the phone for personal reasons.

15. Grievance Policy

15.1- Purpose:

The purpose of the Grievance Policy is to resolve issues in the workplace in the most effective manner and at the lowest level possible.

15.2 - Scope:

A grievance is defined as a concern, problem or complaint that employees raise with their employer. This may include a complaint from an employee about their treatment by Managers or colleagues, changes to working practices, or a failure to fulfill duty of care obligations, etc.

This Policy applies to all employees of the Sanjivani Group of Institutes regardless of their length of service or type of employment contract.

Grievances may be real or imagined, but in either case, it is essential that the grievance is brought to light, discussed and the matter resolved to the satisfaction of all concerned. Failure to do so will only result in the grievance becoming a worsening source of conflict and eventually ending in a far more serious problem. Thus, Organization supports the right of every team member to lodge a grievance.

The Management aims to resolve problems and grievances promptly and as close to the source as possible. Managers will do their utmost to action grievances objectively, discreetly and promptly. Be aware that grievances that are misconceived and lacking substance may result in disciplinary action being taken against the team member lodging the grievance.

15.3 - Policy:

1. The team member should try to resolve the grievance as close to the source as possible. This can be informal and verbal. At this stage, every possible effort should be made to settle a grievance before the formal grievance process starts. If the matter still can't be resolved, the process continues and becomes formal.
2. To start the formal grievance the complainants must fully describe their grievance in writing, with dates and locations wherever possible and how they have already tried to settle the grievance.
3. The person(s) against whom the grievance/complaint is made should be given the full details of the allegation(s) against them. They should have the opportunity and a reasonable time to respond before the process continues.
4. If the grievance still can't be resolved, refer the matter to the most Senior Manager for consideration and a final decision. A grievance taken to this level must be in

writing from the team member.

15.4 - Procedure:

- **Related to departmental work:** Any concern related to the departmental work or team members shall be discussed with the Head of Institution first. If not resolved then shall be taken to the Head – HA level with prior intimation to Head of Institution.
- **Related to behavior, misconduct or disciplinary issue:** The concern related to behavior, misconduct or disciplinary issues of any type by employee against colleagues, Managers, subordinates shall be taken to the Manager – HA department. The Manager – HA department will conduct the necessary preliminary inquiry or collect facts about the incident and report to the Management. On the basis of provided facts and inquiry the Management will take the decision in-consultation with senior team members. The decision taken by Management shall be binding on the concerned parties.

16. Prevention of Sexual Harassment Policy

16.1 – Purpose:

Sanjivani Group of Institutes is committed to create a healthy working environment that enables employees to work without fear of prejudice, gender bias and sexual harassment.

The Management regards sexual harassment and actions that create a hostile work environment as a very serious matter and such conduct is prohibited in the workplace by any person and in any form. The Management also believes that all employees and stakeholders of the Organization have to be treated with dignity.

16.2 – Scope:

- Extends to all employees of the Sanjivani Group of Institutes and is deemed to be incorporated in the service conditions of all employees and comes into effect immediately.
- Applicable at all locations/project sites and activities including those run in association and social events.
- Applies to men and women; to like and opposite gender relationships; to relationships between leaders and team members, sub-ordinates and peer relationships. It includes employees, customers, vendors, consultants, and anyone else doing business on our premises, as well as to those involved in activities in which our name is associated.
- All associates shall comply with this policy.

16.3 –Definitions:

- Employee includes a person employed / engaged by the Sanjivani Group of Institutes for any work directly, or by or through any Agency.
- For this purpose, “Sexual Harassment” includes any unwanted or unwarranted gesture or verbal sexual advances, sexually explicit and derogatory statements or remarks, sexually colour remarks, avoidable and unwarranted physical contacts, willfully touching or patting, suggestive sexual remarks, sexually slanted and obscene jokes, vulgar comments about physical appearance, indecent invitations, stalking sounds, lurid stares, use/ showing of pornographic material, display of pictures, demand for sexual favors, demanding sexual favor by making telephone calls or sending Messages/Mails, threats of physical assault or molestation on refusal by the employee by their superiors, colleagues or anyone who for the time being is in a position to sexually exploit or harass the employee at any workplace which may contain :
 - Implied or overt promise of preferential treatment in that employee’s employment.
 - An implied or overt threat of detrimental treatment in that employee’s employment or an implied or overt threat about the present or future employment status of that

employee and includes the creation of a hostile working environment. Conduct of such an act at work place or outside in relation to an Employee, or vice versa during the course of employment.

16.4 - Committee against Sexual Harassment:

Internal Complaints Committee has been constituted as per statutory guidelines to consider and redress complaints of Sexual Harassment. The committee should be headed by a Woman and Woman members should not be less than half of the total members in the committee who are direct employees of the Organization.

HA Department shall finalize the Committee members in coordination with respective Works / Site / Location Head and shall circulate Committee details to employees in respective locations.

16.4.1- If you are being harassed

- Tell the harasser his/her behavior is unwelcome and ask him/her to stop.
- Keep a record of incidents (date, time, locations, possible witnesses, what happened, your response). You do not have to have a record of events in order to file a complaint, but a record can strengthen your case & help you remember details over.

16.4.2- Procedure for reporting

- Employee has to submit his / her complaint in writing on the occurrence of such an incident at their respective location mentioning the Date and nature of the harassment.
- Upon receipt of the formal complaint from the employee ICC Committee will initiate investigation on the veracity / strength of the compliant. Confidentiality will be maintained during the investigation.
- Organization will not tolerate any form of reprisal or retaliation against an employee or applicant reporting any incident of claimed sexual harassment.
- False accusations of harassment will not be tolerated and would be viewed seriously.

16.4.3- Enquiry Process

- A quorum of 3 members is required to start the enquiry process
- If the complaint is raised against a Committee member by the Complainant, the Committee shall ensure that the defendant should not be the part of the Committee and not allowed to be part of the proceedings / interfere in the proceedings.
- ICC Committee shall maintain a register to endorse the complaint received. The details are to be recorded and maintained as per Annexure – 3, Annexure - 4 of this policy.
- The ICC Committee members shall hear the Complainant and record his/her allegations. The Complainant / defendant can submit any corroborative material

with a documentary proof, written material etc., in original which is self-attested to substantiate his / her complaint. If the Complainant (if Female) does not wish to depose personally due to embarrassment of narration of event, a female co-employee shall meet and record the statement.

- Thereafter, the defendant shall be called for a deposition before the Committee and an opportunity will be given to him/ her to give an explanation, where after, an “Enquiry” shall be conducted and concluded.
- In case the complaint is proved true, HA Department shall initiate necessary action as recommended by the ICC Committee.
- In the event, the complaint does not fall under the purview of Sexual Harassment; the same would be dropped after recording the reasons thereof.
- ICC Committee shall complete the “Enquiry” within 60 days from the date of complaint and communicate its findings and its recommendations for action to the HA Department
- Where sexual harassment occurs as a result of an act or omission by any third party or outsider, ICC committee shall take steps necessary and reasonable to assist the affected person in terms of support and preventive action.
- In case the Committee finds the degree of offence coverable under the Indian Penal Code, then this fact shall be mentioned in its report and appropriate action shall be initiated by the Management, for making a Police Complaint.

16.4.4- Improper Complaints

This policy shall not be used to bring frivolous or malicious complaints against anyone. Making a knowingly false complaint subjects the complaint to disciplinary or corrective action. However, failure to prove a claim of sexual harassment does not constitute proof of a false and / or malicious accusation.

16.4.5- Prohibition of Victimization

- No person shall be victimized for anything said or done in relation to any complaint.
- A person victimizes another person if the person subjects the other person or threatens to subject the other person to any detriment in connection with employment or recruitment or promotion because such person
 - Has brought proceedings against any person.
 - The other person associates with the complainant.
 - Has given evidence or information or produced a document, in connection with any proceedings.

16.4.6- Preventive Steps

ICC Committee shall take all reasonable steps to ensure prevention of sexual harassment at work. Such steps shall include:

- Circulation of the policy in English/ Marathi in Office / Project locations on Sexual harassment to all direct / indirect employees.

- Sexual harassment will be affirmatively discussed at monthly meetings or on available platforms.
- Conduct regular in-house training on sexual harassment and addressing complaints to all direct / indirect employees.
- Guidelines will be prominently displayed to create awareness of the rights of female employees.
- A commitment is required from all the levels of the organization for the positive implementation of the policies and procedures made against sexual harassment.
- Widely publicize that the Sexual Harassment is a crime & will not be tolerated.
- Names and contact numbers of members of the ICC committee will be prominently displayed in all the Offices sites.

17. Whistle-Blower Protection Policy

Sanjivani Group of Institutes requires its employees & associates to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of the Sanjivani Group of Institutes, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

17.1- Guidelines:

- **Reporting Responsibility:** This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns internally so that the Management can address and correct inappropriate conduct and actions. It is the combined responsibility of all to report concerns about violations of Sanjivani Group of Institutes' code of ethics or suspected violations of law or regulations that govern our operations.
- **No Retaliation:** It is contrary to the values of Sanjivani Group of Institutes for anyone to retaliate against any employee or associate who in good faith reports an ethics violation, or a suspected violation of law, such as a complaint of discrimination, or suspected fraud, or suspected violation of any regulation governing the operations of Sanjivani Group of Institutes. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment.
- **Reporting Procedure:** Sanjivani Group of Institutes has an open door policy and suggests that employees share their questions, concerns, suggestions or complaints related to work with their HOD. However the matters related to ethical, discrimination, fraud or legal violations can be reported by mail to the Chief Compliance Officer. It will not be mandatory for the reporting person to disclose his/her identity in the communication. The Chief Compliance Officer will do the investigations, inquiry on the reported matter and appropriate action shall be taken if found truth in the allegations.

Violations of Policy

Violations of the above Code, Policies and applicable laws are taken seriously and a disciplinary action would be taken depending on nature, severity, and frequency of the violation.

- We strive for consistency and fairness in discipline for policy violations. Discipline may include a verbal or written warning; suspension with or without pay; loss or reduction of bonus or stock options; or, for the most serious offenses or repeated

misconduct, termination of employment.

- It may vary depending upon local laws. Please understand that those who violate the laws or regulations mentioned in the Code could expose themselves and the organization to substantial civil damages and criminal penalties.
- Corrective action may be taken if you:
 - Violate the Code, organization's policies and procedures, or applicable laws.
 - Direct others to violate the Code, organization's policies and procedures, or applicable laws.
 - Are aware of a violation or potential violation, and fail to report it.
 - Fail to effectively monitor the actions of people you manage.
 - Do not cooperate in organization audit or investigation.
 - Fail to participate in required training.
 - Disclose information learned during an internal investigation.

18. General Aspects of Resignation and Suspension

18.1 Resignation & Retention Policy:

- a.** Employee wishing to resign should submit his /her resignation in writing to the Principal. He/she should state clearly the date from which he/she wish the resignation to become effective, bearing in mind the contractual notice period required. It is often helpful if employee who intends to resign gives the reasons for doing so.
- b.** Principal conducts the Exit Interview.
- c.** Employee doubtful of the effective date of resignation, contractual notice period, contact the Registrar for advice. Employee gives a minimum of thirty days written notice, unless a shorter period of time is acceptable to the Head of the Institute.
- d.** Employee leaving without a notice of thirty days do not receive their pay for one month or have to deposit one month salary. Employees interested in resigning cannot utilize any leaves except OD and CO.
- e.** Employee who resign during academics semester is released after academics sessions keeping in mind the interest of the students or they may be released only in exceptional cases.
- f.** Employees who resign may be retained by SRES at the prerogative of the management

18.2 Handing Over: Before being relieved all employees should hand over charge to the appropriate person and inform the same to the Principal. Institute is responsible for initiating the necessary action to ensure that all Institute property and equipment are returned safely and a 'No Dues Certificate' is obtained from the Principal on or before the last day of work.

18.3 Suspension: a. Advance notice is not required when termination is the result of incidents which themselves are so serious as to justify immediate discharge. It is also not required if there is a failure to meet punctuality or attendance standards, misconduct, abuse of privilege, violation of Institute policy. Terminated employees are entitled to all salaries and wages earned till the date of termination. b. The employee's immediate superior may affect dismissal or suspension when the Principal determines that the employee's performance of duty or personal conduct is unsatisfactory. The employee shall be informed in writing the reasons for the action taken and granted an opportunity (not less than five working days) to respond to the next highest authority prior to the effective date of action. However, under emergency circumstances when immediate action is necessary as decided by the Management, the employee may be immediately dismissed or suspended, with or without pay. c. An employee who has been dismissed or suspended without pay and is later reinstated, shall be entitled to recover pay at his / her regular rate, at the discretion of the Management.

19. Benefits and Incentives

- 19.1 Honorarium means payment granted to the teachers as remuneration for special work or work of an occasional nature.
- 19.2 Employees Incentive: Employee receives incentives in the form of additional increments every year depending upon the students' feedback and performance appraisal results.
- 19.3 Faculty Promotion: Employee is promoted to higher cadre depending upon their capability and initiative.
- 19.4 Medical benefits & Allowances: All employees avail the facilities provided by a doctor on campus who is present during the working hours and is also available on call during emergencies. The medical officer keeps personal medical records of all employees and offers medical check-up and medical assistance. All the employees may avail the mediclaim facility at their own will as per the recommendation of management.
- 19.5 Children Education Allowances: Children studying in SRES institutes and whose parents are employees of Sanjivani Group of Institutes can avail of a waiver of 50% on the tuition fees.
- 19.6 Consultancy Assignments: The Institute or colleges should be encouraged to accept consultancies, direct projects, register patents, R&D Products and technology transfers as a part of their academic duties. This would help the society at large to benefit from the professional inputs by the academic community and contribute directly to societal development. University Grants Commission should also lay down detailed guidelines for carrying out consultancy work since this would help transparency and uniformity in such work. Amount received is shared in the ratio of 70:30 between the teacher and the institution respectively.
- 19.7 Contributory Provident Fund: Contributory Provident Fund Scheme is made available to all employees after joining the service under the roof of SRES.
- 19.8 Staff Welfare Fund: Employees can avail the partial withdrawal of STF in any medical emergency or any other circumstances.
- 19.9 Sanjivani Tantra shikshan Karmachari Sahakari Patsantha: (TSKPT): Employees can avail the loan facility after becoming a permanent member of TSKPT up to 15 Lakhs.
- 19.10 Gratuity: Employees who are permanently approved can avail the Gratuity after completing 5 years of service in SRES.

20. Deputation for Higher Education Policy

20.1 Deputations for Post Graduate Studies: Staff members having Graduate qualification are encouraged to pursue Post Graduate (PG) qualification. Staff members who have put in at least three years of continuous service at SRES and whose performance is satisfactory, can request management to depute them for completing PG from recognized institutions. The grant of such request is considered depending upon merit of the case as judged by Principal and the Management. In case the Management decides to share the part of fees (limited to 50% of total course fees), the staff member is required to sign a legal bond, before starting of PG course. Principal extends necessary support to such aspiring staff members in terms of adjustment of teaching load etc. Such support however is available to staff member for the specified minimum tenure of the PG course and it is expected that staff member completes the PG in this tenure only.

20.2 Deputation for Ph.D. Work: Staff members having Postgraduate qualification are encouraged to pursue PhD qualification. Staff members who have put in at least three years of continuous service at SRES and whose performance is satisfactory, can request management to depute them for completing PhD from recognized institutions. Such request is granted considering merit of the case as judged by Principal and the Management. For staff members selected to pursue PhD through QIP at IIT, the management bears 50% of course fees or max Rs. 60,000/-. Such member is required to sign a legal bond before the start of PhD. They also have to submit the progress report to college at every interval of six months. For self-sponsored staff members doing PhD at IITs, the entire expenses towards completion of PhD are borne by staff member. The staff member will have lean on his/her current post for the period of three years/ completion of PhD (not exceeding 4 years). Such a lean shall be valid only after signing the legal bond wherein the staff member undertakes to serve SRES for a period of 3 (Three) years after completion of PhD.

21. Disciplinary Action Policy

It is obligatory for employers to set and maintain satisfactory standards of conduct and performance work. Employees are clear about the standards that are expected of them and about the consequences in case they are not met. Disciplinary arrangements are therefore an important part of an employer's overall responsibility. Although disciplinary action involves actions against an employee, the primary purpose is to maintain and improve standards.

- i. The purpose of these procedures and disciplinary rules is to establish equitable and consistent standards throughout the institute and to ensure that disciplinary action is fair and reasonable in the circumstances of each case.
- ii. Normally no formal disciplinary action is taken without some informal counseling where the employee is made aware of any shortcomings in standards or in behavior, and these shortcomings have been discussed between the employee and the Head of the Institute.
- iii. It is hoped that most of the difficulties, that arise, could be resolved through counseling. However, the disciplinary procedure may be implemented at any stage if the alleged misconduct or unsatisfactory performance warrants such action.
- iv. The Head of the Institute will outline the cause of concern and the employee will be given an opportunity to state his/her case & are required to provide appropriate prior notification of any allegations and any evidence, in accordance with natural justice. A written record of all disciplinary hearings and appeals are kept.
- v. If the conduct or performance of an employee is not satisfactory, he/ she is required to attend a formal disciplinary hearing held by the Principal. If the explanation is unsatisfactory, an appeal against a verbal / written warning notice issued by the superior may be made in writing, within seven days of receipt of the warning. The appeal will normally be heard within fourteen days.

22. Performance Evaluation Policy

22.1 Job Evaluation: It is a systematic method of determining the relative value of all jobs in the Institute. That value is based on job content, not on how well an individual performs the work. The staff must complete the 'Self-appraisal form' after the completion of an academic year

22.2 Performance Appraisals: Performance Appraisal is a benefit given to the employees in order to form a proper job matrix in the institute.

22.3 Appraisal Factors: Factors used to appraise an individual's performance in a job are the following:

- i. Education - Depth of knowledge normally acquired through education or specialized formal training.
- ii. Experience - Depth and breadth of knowledge or skill in terms of related work experience and on-the-job training
- iii. Job scope - Decision-making requirements including job complexity, independence of action, analytical and creative job requirements
- iv. In campus relationships -Responsibility for contacting and dealing with administrative staff, faculty, students and others within the institute. Relationship with seniors, subordinates, juniors, etc.
- v. Out campus relationships - Responsibility for representing the institute
- vi. Managerial responsibility - Influence the importance of decisions including responsibility for budgeting, managing human resources, utilization of assets, revenue control, planning, policy and strategy development
- vii. Position conditions - Degree to which the position has certain undesirable working conditions present
- viii. Integrity- Integrity with institute, initiative, ability to shoulder responsibility, etc.

22.4 Parameters of Evaluation: Each employee of the Institute is evaluated in a systematic manner on an annual basis. The Principal leads the performance appraisals which are further reviewed by the Management. Areas to be evaluated include adjustment to the position, attitude, cooperation, attendance, and punctuality, potential for future development, productivity, capability, goals and efficiency.

i. Student Feedback: Confidential student feedback shall be collected twice in semester and reviewed by the Principal. This will be maintained in Principal's office.

ii. Result analysis: Result Analysis of subject taught by the faculty.

22.5 Process of Performance Appraisal: A self-appraisal is the first step in the appraisal process. Employees are asked to sign appraisal forms. The employee's signature does not imply that the Management / employee agree with the appraisal, but that the employee has seen it. The employee can discuss the differences with the Management who will then do an independent analysis of the issue. Productivity and activity are the keywords while evaluating any employee. It is the responsibility of the employee to ensure that he/ she has had at least one performance appraisal during twelve months of service. It is to be

noted that all performance appraisals are used to provide a positive and developmental assessment of individuals and are not be used as tools of personal vendetta under any circumstances.

22.6 Training and Development Programs for Teaching /Technical / Supporting staff:

- i. From time to time the Management deputes staff for training both outside and within the organization on the recommendations of the Head of Institution. Basic trainings, like ERP awareness, medical issues awareness etc., is often organized in-house. Employees are also encouraged to go for trainings sponsored by statutory bodies.
- ii. The institute encourages its entire staff to undergo Quality Improvement Programs (QIP) and attend other trainings and relevant seminars as part of its faculty development programs. Depending on the merit of the case and the budget allocated to the department / section, complete / partial expenses of the candidate towards registration, boarding, lodging etc. are borne by the institute.
- iii. At the beginning of the academic year each department is briefed about the budget allocated to them to meet the expenses.
- iv. For all paper presentations the expenses are borne by the Institute as per the norms decided.
- v. A record of training is to be kept by the all employees in their personal files. The institute encourages and supports the training and development of all its staff members and is dedicated to promote a vibrant team of employees.

Principal

Sanjivani Institute of Pharmacy and Research, Kopargaon

Enquiry Form No: ICC/EF/

ANNEXURE – 1

ENQUIRY FORM

To

A complaint of Sexual Harassment (Complaint Number: ICC/) has been lodged against you by Mr. / Ms. _____ on _____.

The complaint refers to the following incidents that allegedly took place between both parties where the details are as following

S. No	Nature of Incident	Date & Time of Incident	Location
1			
2			
3			

ICC Committee is at present examining the complaint(s).

The Committee would like to meet you on _____ (Date) at _____ (Time) in the _____ (venue).

You are requested to attend the Enquiry without fail and meet the Committee to present your version with respect to the Complaint. If you desire to call any witness (as) the same may be communicated to ICC Committee within 1 day of receiving this communication.

For any change in the time or date of your appointment with the Committee, please contact undersigned.

Yours truly,

Member –ICC Committee Date:
Encl: Copy of the Complaint along with Proof(s)

Action Taken Form No: ICC/ATF/

ANNEXURE - 2
ACTION TAKEN
FORM

(To be initiated by HA Department)

To

Mr. / Ms. _____

Basing on the complaint lodged by Mr. / Ms. _____ on Sexual Harassment (Pl. refer Form No: ICC/EF/) and the subsequent detailed enquiry conducted by ICC Committee it has been proved that the allegations are true.

Basing on the recommendations of the committee the following disciplinary action is initiated against you.

You are requested to abide the decision of the Committee and shall act accordingly.

Yours truly,

Member –ICC Committee Date:

DECLARATION

I agree to the action recommended by the ICC Committee and shall abide by the same

(Signature of the Defendant)

Date:

ANNEXURE – 3

ICC - COMPLAINT REGISTER

S No	Nature of Complaint	Name & Department of the Complainant	Name & Department of the Defendant	Date & Time of receiving the Complaint	Details of Evidences provided	Enquiry Form Number (ICC/EF/xx x)
1						
2						
3						
4						

ANNEXURE – 4

ICC –ENQUIRY PROCESS DETAILS

S No	Enquiry Form No	Nature of Complaint	Date & Time of Complain t	Remarks	Date of Enquiry	Recommendations by ICC Committee	Action initiated by HA Dept.
1							
2							
3							
4							