

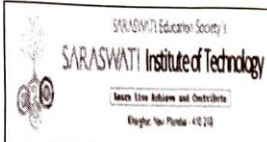
 <p>SARASWATI Education Society's SARASWATI Institute of Technology <small>Learn Live Achieve and Contribute</small> Kharghar, New Mumbai - 410 210.</p>	SARASWATI INSTITUTE OF TECHNOLOGY	HR POLICY
Version 01		

SARASWATI INSTITUTE OF TECHNOLOGY

HR POLICIES HANDBOOK

AUGUST 2016

ISSUE DATE:	APPROVED BY: Mrs.Vrushali Deshmukh DESIGNATION: Secretary SES
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SARASWATI INSTITUTE OF TECHNOLOGY

HR POLICY

Version 01

Dear Colleague,

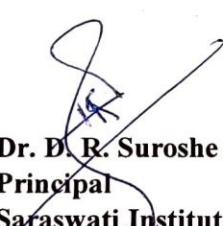
We are pleased to present to you a HR Policies Handbook related to the staff detailing all the updated policies of SIOT.

We urge you to read the policies and get familiar with the letter and spirit of these policies.

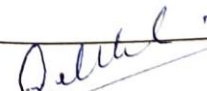
Should you find a need for any clarifications, you may please get in touch with your HR representative.

We take this opportunity to wish you a very fulfilling association with SIOT

With Warm Regards,


Dr. D. R. Suroshe
Principal
Saraswati Institute of Technology

Principal
Saraswati Institute of Technology
Kharghar, Navi Mumbai - 410 210.


APPROVED BY: Ms. Vrushi Deshmukh

DESIGNATION: Secretary SES

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1. VISION , MISSION , QUALITY POLICY AND QUALITY OBJECTIVE

VISION

“To excel in the field of technology by creating technocrats with value-based professionalism”

MISSION

“To provide technical expertise to fulfill the needs of the industry.”

“To impact ethical values & professional responsibilities.”

“To achieve excellence in academics.”

QUALITY POLICY

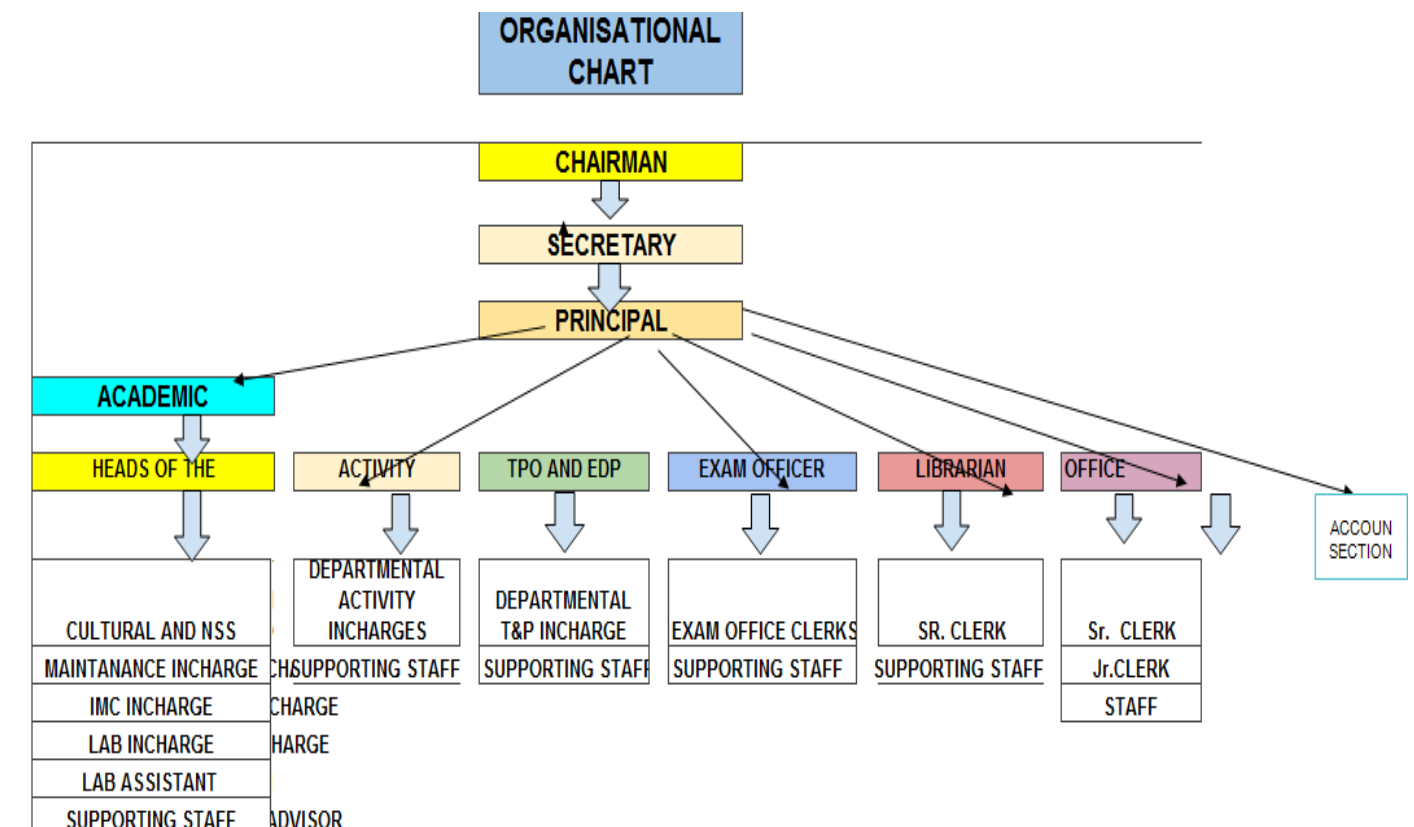
We at **SARASWATI INSTITUTE OF TECHNOLOGY** are committed to impart continual quality education & training leading to diploma in Engineering. We would demonstrate continual improvement by complying with requirements, monitoring our abilities and implementation of Quality Management System.

We aim to provide a platform for Development of student by understanding and meeting industrial needs by developing technical skills, leadership quality, inter personal skills and upholding the importance of professionalism and ethical practices. The Quality policy is supported by quality objectives and is communicated through various modes of channels such as notices, websites, brochure and understood within the institution and is reviewed by management time to time for continued suitability.

QUALITY OBJECTIVES

1. To become competent Educational & Research organization by cultivating research culture among faculty and students.
2. To make students of SARASWATI INSTITUTE OF TECHNOLOGY globally competent with leadership qualities.
3. To strive hard for holistic development of student, through co-curricular, extracurricular activities, trainings and industrial exposure for developing industry ready technocrats.
4. To provide better carrier opportunities by motivating the employability and entrepreneurship skills.
5. To impart quality education to the students and to develop vision of state of art academic and professional fraternity.
6. To provide global platform to students and faculty for research, collaborative activities and education through interactive MOU's and tie-up's with renowned national and international organization and industries

2. ORGANIZATION CHART



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3. GRADES & DESIGNATIONS

The Grade Structure for Teaching and non-teaching, are as under:

Teaching Faculty

Grades	Designations
1	Principal
2	HOD
3	Senior Grade Selection Lecturer / Selection Grade Lecturer
4	Lecturer

Non-Teaching Staff

Grades	Designations of Supporting Staff
1	General Manager – HR and Admin
2	O/S, Head Finance and Accounts ,Assistant General Manager
3	Librarian , System Administrator
4	Lab Assistant, Clerk, Asst Physical Director , Security Supervisor, Telephone Operator, Personal Secretary, Assistant Librarian , Accountant , Cashier, Junior Programmer
5	Attendant , Skill Assistant, Driver, Gardner , Security Guard

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4. PAY SCALES

The Scales of pay for various teaching & non teaching staff will be as per SES norms, commensurate with the qualifications and experience

Three year for consolidated salary for Teaching and Non-teaching staff members. After completion of three year given basic.

5. RECRUITMENT POLICY

1. OBJECTIVE:

1.1 Effectiveness of an institution depends on the competence and quality of its human resources. The objective of this policy is to ensure a streamlined recruitment process in identifying and hiring best qualified candidates for all given positions.

2. APPLICABILITY

2.1 All new recruits in all grades

3. POLICY & PROCEDURE

3.1. The concerned HOD is to get in touch with HR Department with the details of the manpower required. HR will then seek approval of Principal, and only then proceed with the process of recruitment.

3.2 HR shall prepare a detailed job description for the position to be filled up, in consultation with the concerned department

3.3 HR shall source the profiles for the required position, through various sources viz., advertisements (newspapers, portals...), consultants, internal reference etc.

3.4 HR shall screen and shortlist the profiles depending on their suitability for the position. The list of shortlisted profiles will be communicated to the concerned HOD, Principal.

3.5 HR will coordinate the entire process of conducting the interviews.

3.6 Depending on the grade/level of the position being recruited, the interview panel selection Committee will consist of the concerned HOD, Principal, external members(in case of USSC) and HR representative.

3.7 The Institute shall be an equal-opportunity employer, with affirmative action towards economically weaker section of societies

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6. ADHOC EMPLOYMENT FOR ADMINISTRATIVE STAFF

1. Preamble

1.1 *Non-Technical Staff* under this policy are candidates with graduation/under graduation, applying for positions like Attendants / Junior Assistants/ Office Assistants/ Senior Assistants/Lab Assistants/ Clerk/ Secretaries, etc.

1.2 This policy is aimed at preparing a framework in which non-teaching staff will be recruited on Adhoc Basis.

1.3 However after three years of successful experience and based on performance in the organization, they will be employed on regular rolls of the organization.

2. Objective

2.1 The objective of this policy is to provide guidelines and procedure to recruit employees in non-teaching and non-technical positions on adhoc basis.

3. Eligibility and Applicability

3.1 Supporting staff of SIOT with technical and non-technical qualification.

3.2 The employees on outsourced rolls are not covered under this policy.

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7. RECRUITMENT PROCEDURE

The procedure for Adhoc engagement of staff involves the following:

7.1 That a position is Adhoc, and the duration of the contract must be clearly outlined even before the process of recruitment begins, and so specified in advertisements, or other communication.

7.2 All subsequent process of recruitment of non-teaching and non-technical staff shall be done as per the normal recruitment process of the organization.

7.3 Interviews shall be conducted by the selection committee which shall consist of – concerned HOD, Principal and HR representative.

7.4 After the finalization of the candidate, and before doing the salary negotiation, it will once again be reiterated to the candidate that this is a Adhoc position.

7.5 Salary fitment will be done as per the existing band in that particular grade and take into account concerns of internal consistency.

7.6 Salary details will not be provided to potential candidates either via email or on paper, before the day of joining. This is to prevent the potential employee using the offer to negotiate other offers elsewhere as bargaining chips.

7.7 Appointment letter, together with salary break up, will be issued for the Adhoc employment.

8. PROBATION POLICY

1. Objective

1.1 To provide a policy framework for confirmation of regular employees after completion of the probation period.

2. Eligibility & Coverage

2.1 All new recruits as well as existing staff of the institute on regular rolls

3. Policy & Procedural Formalities for Completion of Probation

3.1 All new employees will be on probation for a period of 24 months from the date of joining.

3.2 While the formal probation appraisal shall be at the end of 24 months, the concerned HOD will review the performance of the probationer at quarterly intervals. These assessments will be on the broad parameters of Discipline, Attitude, Application, Job Knowledge and Concerned HOD Feedback and group values. The performance evaluation report will be submitted to HR Department.

3.3 During probation, the notice period on either side will be three month. It is mandatory to serve the notice period and the option of offsetting the notice period, partly or fully will be at the sole discretion of the management. The management may also, at its sole discretion, accept notice pay in lieu of the notice period. Notice pay shall mean gross salary of the employee including allowances, if any.

3.4 HR Department will send the Probation Appraisal form to the concerned HOD at least one month before completion of the probation period.

3.5 The HOD will discuss the performance of the probationer and record the employee's strengths and required areas of improvement in the personal file of the employee.

3.6 Duly completed Probationary Appraisal Form with the recommendation of the HOD for confirmation, will be sent to HR Department at least one week before the completion of the probation period for the issue of Confirmation Letter.

4. Extension of Probation Period

4.1 In such instances where an employee does not meet the required standards of performance, the HOD may recommend extension of the probation for a maximum of six months.

4.2 Probation period may be extended under any of the following

Circumstances:

- Performance of the probationer is not up to expectations
- The role and the skills of the probationer are not aligned
- Probationer's values are not aligned with the institute's values

4.3 A mutually agreed and detailed Performance Improvement Plan involving Counseling and training will be documented, and areas of improvement clearly communicated to the employee in the prescribed format.

4.4 The probation may be extended only once. When probation is extended for an employee, the HOD shall send the Probationary Appraisal Form to HR Department at least 15 days before the expiry of probation, clearly stating the reasons for extension. HR will send necessary reminders in time.

4.5 Based on the recommendation of the HOD, HR Department will formally communicate the extension of the probation through a letter to the employee through the HOD

4.6 The performance will be reviewed once again at the end of the extended probation period. The probationer's services may be confirmed subject to satisfactory performance.

4.7 If the probationer's performance remains unsatisfactory after the Performance Improvement Plan, his or her services may be summarily terminated.

5. Confirmation of services

5.1 On successful completion of the probation, the services of the probationer will be confirmed as per the terms of appointment.

5.2 HR shall send the confirmation to the employee through the HOD within one week of the end of probation.

5.3 Upon confirmation, the notice period on either side will be three months

5.4 It is mandatory to serve the notice period and the option of offsetting the notice period, partly or fully will be at the sole discretion of the management. The management may also, at its sole discretion, accept notice pay in lieu of the notice period. Notice pay shall mean gross salary (CTC - Annual and Statutory components) of the employee.



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9. PERFORMANCE APPRISAL POLICY

Introduction

This policy provides a guide to employees on the purpose of the performance appraisal and to ensure that the work performance and training needs of every employee are managed defectively and fairly.

While this policy applies to all employees of Appraisal Performance Index (API), there may be some cases where the process is amended so that it is appropriate to the role.

Policy

A performance appraisal gives individual employees and their Head of the Department (HOD) an opportunity to review performance, work content, loads and volume, to look back on what has been achieved during the past year then agree future objectives.

It is also the time an employee can agree personal objectives, and any learning and development requirements which may help.

The appraisal system is designed to:

- Be a positive process.
- Raise the quality of services provided by motivating.
- Increase job satisfaction.
- Identify appropriate training and development requirements.

Policy aims

API recognizes that employees perform most effectively when they have clear expectations of their job role and purpose, their own targets or objectives, and of the wider aims of API.

The policy aims to ensure that employees:

- Know what is expected of them i.e. the required standard of performance and how they should do their jobs.
- Receive feedback which aims to improve and develop performance and recognize their achievements.
- Identify areas where improvement is required and training and development needs.
- Have a mutually agreed plan to achieve both development goals and employee career development. Roles and Responsibilities API is responsible for:
 - Setting sustainable standards.
 - Providing advice and guidance to managers on implementing the policy.

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10. INDUCTION POLICY

1. Objective

1.1 To facilitate smooth assimilation of *new employees* into the institute and help them understand the institution as a whole, develop a sense of belonging, getting to know one's extended colleagues, make them familiar with all aspects of their job, their responsibilities, setting clear their expectations, familiarizing them to the available resources and applicable policies, procedures, and traditions of the institute.

Applicability

2.1 All new employees of the institute

3. Policy

3.1 The HR Department shall ensure that every employee, irrespective of grade, goes through an Orientation Program, which will be mandatory for the employee to attend.

3.2 The duration and scope of Orientation Program may vary with the grade of the employee and the width and depth of information that needs to be shared during induction.

3.3 The Orientation Program shall include the following:

Sr.No	Particulars	Responsibility	Content
1	SIOT staff	SIOT-HR	<ul style="list-style-type: none"> • Introduction to the SES Group • Introduction to SIOT • Brief introduction of the organizational structure • Running of presentation of HR rules and regulations
2	SIOT department faculty Orientation	HOD of department	<ul style="list-style-type: none"> • Introduction to the current employees in the department
3	HR Orientation	GM-HR	<ul style="list-style-type: none"> • Introduction to HR Policies

Employee Orientation Form

Name of the Employee:

Date:

Designation :

Dept:

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11. GROUP INSURANCE

1. Objective

1.1 To provide employee welfare through basic assurance of healthcare to employees and help them meet unforeseen personal expenses arising from medical emergency.

2. Eligibility & Applicability

2.1 All regular and Adhoc employees of the Institute, including probationers will be covered.

2.2 Insurance coverage is applicable for the employee and her/his family members. The Family Members shall include:

2.2.1 Spouse

2.2.2 Two Dependent Children.

2.3 The employee is required to declare her/his dependents under this scheme in the prescribed format at the time of joining.

2.4 For any other member of the employee's family to be covered under this policy, such as parents, or in-laws (for female employees only) any addition or withdrawal of family members on account of marriage, birth and death needs to be communicated to HR Department promptly.

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12. REIMBURSEMENT OF TELEPHONE EXPENSES

1. Objective:

- 1.1 To facilitate communication for employees where such facilitation is considered necessary for greater effectiveness in one's official role.
- 1.2 To provide for reimbursement of such expenses.

2 . Eligibility & Applicability

- 2.1 Regular employees of SIOT, working in Administration, Accounts, Training & Placement, HR , other shared services, etc., depending upon work exigency and special approval of Principal.
- 2.2 The eligibility limits specified for each grade are:

Grade	Eligibility limit (Rs. Per month)
1 & 2	2000
3 & 4	1000
5	800
6	500

3 Policy & Procedure

3.1 The mobile allowance is provided strictly on need basis with special approval of the Principal.

3.2 All mobile phone bills shall be settled directly by the employees and reimbursement claimed at actuals or based on eligibility, whichever is lower.

3.3 In case the bill amount exceeds the grade-wise eligibility mentioned in point no. , the reimbursement shall not exceed the specified limit mentioned against each grade, unless there is a special approval. The approval powers are as under:

- If the bill exceeds by 10% but less than 15% of the grade-wise eligibility, it shall be approved by the Principal.
- If the amount is more than 15% but less than 25%, it shall be approved by GM HR & ADMIN.
- If the amount exceeds by more than 25% it needs to be approved by Secretary,SES.

- 3.4 Any exception to the reimbursement limit would be approved only upon proper justification and will be done as an exception and not resorted to as a routine practice.
- 3.5 Employees shall settle their phone bill on a monthly basis & claim eligible reimbursement from the Accounts Department.
- 3.6 This facility is provided to a few employees, based on their need and nature of work. The employees who are covered under this shall be recommended by Principal and approved by GM HR & ADMIN.

➤ **Conferences and Workshops**

The funds available to the Approved Faculty members to participate at conferences, workshops, STTPs, etc. shall be as tabulated below. Final call would be as per the decision of Hon Principal SIOT.

Sr. No.	Type	Financial Assistance
1	International Conference (Abroad)	up to Rs. 25,000
2	International Conference (India)	50 % or 3000 Rs. whichever is less
3	National Conference, Symposia, Workshop, STTP, etc	50 % or 3000 Rs. whichever is less

Note: The requisite amount within the limits mentioned shall be sanctioned by the Head of Institution, on recommendations of the respective Head of department and review by Head (R&D). This amount may be claimed from the department R&D budget sanctioned by the institution for the said financial year.

➤ **Important Guidelines**

All the faculty members who intend to apply for R&D projects and grants, and all those who have obtained approval for their projects from various apex bodies, industries and universities shall follow the work procedure given herewith.

- Every research proposal shall pass through a multi-tier review, where the proposal shall first be reviewed by the PI/ Co-PI themselves, then by the concerned Head/ experts in the department, followed by other eminent researchers in the field. The proposal shall then be vetted by the research review committee (RRC) before submission to the funding agency.
- It is advisable to have a faculty working in the same field, as Co-Investigator; for every proposal submitted for funding to external agencies. The faculty proposed as Co-Investigator, shall preferably be from the same department as the Principal Investigator.
- All applications related with R&D shall be routed through the Head (R&D) along

With one hard copy for R&D records. A soft copy shall also be emailed to the Head R&D; and the department representative in R&D cell as well as the HOD shall be copied on the email.

- Separate dead stock registers shall be maintained for all R&D as well as externally funded projects in every department.
- Purchase of instruments, software, etc. and the audit report made for the same shall follow the SES Accounts Department guidelines.
- Principal Investigator and Co-Investigator shall ensure that the instruments, software, etc. purchased are secured in the laboratory/ department.
- The entire sanctioned amount shall be utilized as per the guidelines of the funding agency.
- In case the Principal Investigator leaves the institute; all the items, instruments, software, etc. purchased shall remain as an asset of the institute.
- All HODs must regularly and diligently update the R&D information and achievements of their departments in the R&D page on the institute website through Head R&D.

➤ **R&D Incentives**

The institute follows a unique point based incentive scheme to reward the research work carried out by faculty in the respective year. This is a one of its kind scheme initiated with the patronage of Hon. Principal SIOT and serves as an effective motivation for faculty, to undertake research in their chosen areas of interest. The various points considered for R&D incentives are tabulated below,

	Nature of Activity	API : Self-Appraisal Score	Verified API Score
		Total Score	
	Other research Publications (books, chapters in books , other than referred journal articles)		
	i. Text or reference books published by International Publishers with an establishment peer review system		
	Sole Author (50 per publication)		
	Sole Editor (30 per publication)		
	Chapter in edited Book (10 per publication).		
	ii. Text or reference books by National level publishers/State and central Govt.		

Publications with ISBN/ISSN numbers			
	Sole Author (30 per publication)		
	Sole Editor (20 per publication)		
	Chapter in edited Book (10 per publication).		
iii. Text or reference books by other local publishers			
	Sole Author (15 per publication)		
	Sole Editor (10 per publication)		
	Chapter in edited Book (5 per publication).		
RESEARCH PROJECTS			
i. Completed /Ongoing Sponsored Projects.(In case of Co-PI points are to be shared in 60:40 ratio)			
	Major Project with Grant >Rs 15 Lakhs for Sciences and Rs 5 Lakhs for others (20 per project)		
	Major Project with Grant >Rs 5 Lakhs for Sciences and Rs 3 Lakhs for others (15 per project)		
	Minor Project with Grants >Rs 40,000 for Sciences and Rs 25000 for others (10 per project)		
ii. Completed /Ongoing Consultancy Projects			
	Grant >Rs 10 Lakhs for Sciences and Rs 2 Lakhs for others (10 per project).In case Jt.venture points are to be shared in 60:40 ratio.		
RESEARCH GUIDANCE (In case of joint supervision points are to be shared in 70:30 ratio)			
	Ph.D (10 per candidate)		
PARTICIPATION IN TRAINING COURSES /CONFERENCES /SEMINAR /WORKSHOP			
i. Industry training/Interdisciplinary project			
	Duration two weeks or more (10 per course/workshop).		
	Duration one week (5 per course/workshop)		
ii.Participation and presentation of research papers (oral/poster) in conferences/Journal			
	a)Reputed International conference(15 per participation/ presentation) Faculty publication with ME students (30:70 ratio)[30% for faculty]		
	b) International Conference (10 per participation/ presentation) Faculty publication with ME students (30:70 ratio)[30% for faculty]		
iii. Invited lectures or presentation for conferences /Seminar /Training Course /Refresher Course/Orientation Course			
	a) National Level (5 per lecture)		
	b) Local-University / College Level (2 per lecture)		
TRAINING COURSES/CONFERENCE /SEMINAR/WORKSHOP ORGANISED			
i. Refresher courses. Methodology workshops, Industrial training courses ,STTPs, summer /winter School/Teaching –learning –evaluation Technology Programmes, Soft-Skills development Programmes, Faculty Development Programmes.			

	Duration 2 weeks or more (30 per course).In case of Co-coordinator points are to be shared in 70:30 ratio. [30% coordinator & 70% for reset of the organizing team]		
	Duration 1 week (20 per course). In case of Co-coordinator points are to be shared in 70:30 ratios. . [30% coordinator & 70% for reset of the organizing team]		
	ii) Seminar (one day) organised .In case of Co-convener /Jt. Organizing Secretary points are to be shared in 70:30 ratios. [30% Co-convener /Jt. Organizing Secretary & 70% for reset of the organizing team]		
	International(20 per event)		
	National (10 per event)		
AWARDS/HONOURS/RECOGNITIONS			
	International level honour/recognition/ award (30 per award)		
	National level honour/ recognition/award (25 per award)		
	State level honour/ recognition/award (25 per award)		
	College level honour/ recognition/award (10 pts)		
PEER REVIEWING OF PAPERS/PROJECT PROPOSAL/EVALUATION OF PROJECT COMPLETION REPORT			
	For Referred Journal(7 per paper)		
	For non referred but recognized and reputable journals and periodicals, having ISBN/ISSN numbers (4 per paper)		
	Conference proceeding as full paper etc.(3 per paper)		
	Evaluation of project Completion Report (10 per report for major project and 5 for minor project)		
	Evaluation of project Proposals (5 per report for major project and 3 for minor project)		
TOTAL API SCORE			

IMPORTANT NOTE

THE FACULTY MEMBER HAS TO CONTRIBUTE FROM
(MINIMUM) 1 CRITERION IN CATEGORY 1 AND 1 CRITERION IN CATEGORY 2
TO BE ELIGIBLE FOR R&D INCENTIVE

Incentive Criteria

The points to be considered for recommending R&D incentives are tabulated herewith;

R&D Incentive	Points \geq for		
	Selection Grade lecturer.	Sr. lecturer	lecturer
1			
2			
3			
4			

Note: The period of consideration shall be from 1st July to 30th June

All such faculty eligible for R&D incentives shall submit the report with supporting documents to the HOD, through the Research Coordinator of the department by 20th of June every year. The HOD along with some senior faculty members shall then carry out a rigorous scrutiny at the department level; and ensure that their recommendations reach the R&D cell, latest by 25th of June, every year.

Mode of Execution

The R&D Incentive scheme shall follow a transparent, multi-tier process with the following authorities;

Evaluating Authority: Head of Department

Reviewing Authority: Head (R&D)

Recommending Authority: Principal SIOT

Approving Authority: Hon. Secretary SES

Rules/Policy Document for Consultancy Projects, Sponsored Projects, Training Programmes and CEP's

Industrial consultancy is vital in the growth of any Organization imparting higher technical Education. Continuing education enables us to reach to the outside world and contribute towards societal improvement at large. SIOT aims to be in the forefront of all these activities and thus be an aid in the national Growth.

Norms for consultancy and Industrial projects: Type A

Consultancy and industrial projects would only be accepted after approval through proper channel. SIOT would enter into any such industrial project or provide consultancy to it by signing proper consultancy agreement between the two parties. Such agreement would clearly mention the terms and conditions, financial aspects and related terms involved, institute liability, legal aspect, time constraints, deliverables, and limitations of the project consultancy agreement. The Document would be signed by the Faculty/Staff, Head of the organization and the competent authority from the other party in agreement.

Consultancy projects would be taken up by the departments of the institute shall be examined from the point of view of science and technology content and its likely benefit to the academic and R&D activities at the institute, which can in turn influence Quality and standard of academics at SIOT. Every project proposal would be examined and approved by institute level committee before it is being accepted for being conducted.

The committee would consist of

- Principal SIOT (Chairman)
- Heads (convenor)
- concerned Head of the Department (Advisory member)
- Technical Expert in the subject area (nominated by Principal SIOT) (Advisory member)

The Department Coordinator would maintain the documentation /Records of such committee meetings. The Department Coordinator would further fix and schedule such meetings as and when required and send invitations to the chairman, convener, Advisory members and invitees as per everyone's convenience, the minutes of such meetings would be officially recorded.

The faculty members proposing to take up the consultancy work would be termed as invitees at such meetings and they would be required to make a presentation of the consultancy proposal. In case of testing the concerned faculty may present the case.

The work shall be classified as Class A type of work if it adheres following constraints:

- Type A : consultancy and industrial Projects (Individual / Joint)
- A1: That do not require laboratory Facilities
- A2: That require laboratory Facilities

Norms for Training Programmes and CEP's: Type B :

Individual Faculty members or departments may take up Training program. Such continuing Education program undertaken by the Department or individual faculty need to be presented in front of Principal SIOT. The proposal to arrange such a Training program should contain the need and necessity of such training program, The Trainers and their academic and trainer profile, Module wise syllabus, Time scheduling, Fees, Evaluation method of the trainees at the end of training, Certificate Sample, Advertising Leaflet, Venue, Requirements and human resource support from the organization as may be required. The head of the institution would examine and approve such proposal if found suitable and in the interest of the trainees and the organization. The organization would enter into a formal agreement if the training is arranged by an Outside individual / Organization or a faculty which would mention the resources that would be provided by the institute and the revenue sharing aspect thereof.

The said training programmes can be offered to people/Students/ outside faculty from outside of the college and outside organizations in non-academic hours.

The said consultancy shall be classified as Type B if it is subjected to following constraints.

- Type B: Training courses and Continuing Education programs (Individual or Joint)

Offered for inside or outside participants

- B1 : Imparted by Institutes manpower
- B2 : Imparted by outside agency

Revenue Sharing:

The Revenue sharing here implies the difference of income and expenditure.

Type A: consultancy and industrial Projects (Individual / Joint)

- A1: That do not require laboratory Facilities
- A2: that require laboratory Facilities

Type B: Training courses and Continuing Education programs (Individual or Joint) Offered for inside or outside participants

- B1 : Imparted by Institutes manpower
- B2 : Imparted by outside agency

Type	Revenue sharing in percentage			
	Institute	Principal	HOD	Faculty /Staff
A1	40	5	5	50#
A2	50	5	5	40#
B1	40	5	5	50#
B2	80	5	5	10#

Indicates that such a revenue would be shared within the faculties if more than one (should be clearly mentioned in agreement paper also).The Faculty who brought the consultancy should also be considered in it).

The revenue would be deposited in the account of Principal SIOT by cheque/draft/Cash (Small amount)less than Rs/- 5000).The Account section would divide the revenue as per the instruction of the Undersigned authority and table as mentioned above.

The Institute Share would be retained by the institute in the principals account and the remaining amount would be disbursed in the form of cheque/draft/Cash (Small amount)less than Rs/- 5000) to the concerned (Principal share/ HOD share/ Faculty or staff share).

The Account section would also issue a revenue disbursement certificate mentioning all the shares including the institutes share for records to be kept by the respective departments.

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13. DOMESTIC TRAVEL POLICY

1. Objective

1.1 To govern reimbursement of expenditure towards travel, boarding and lodging.

2. Eligibility and Applicability

2.1 All regular and contract employees of SIOT

3. Policy and Procedure

3.1 Official travel would be treated as ‘tour

3.2 Tours lasting between 3 and 5 days will be approved by Principal.

3.4 Tours exceeding five days will be approved by GM HR & ADMIN.

3.5 For the purpose of allowances, a day is considered as 24 hours from the time one leaves home, with 12 hours intervals counted as half-day.

3.6 Hotel bookings irrespective of location are to be handled through the designated official in Administration Department.

3.7 When touring together, twin-sharing accommodation shall be utilized, except for Principal, Registrar, Deans and HODs.

3.8 Employees shall stay in guest house or authorized service apartment, wherever applicable. Only in case of non-availability of guesthouse/service apartment, employees can request for hotel stay. Booking shall be done through Administration Department.

3.9 Hotel bookings irrespective of location are to be handled through the designated official in Administration Department.

Lodging (Per day Stay) Eligibility:

Grade	Designations	Eligibility Limit Exclusive of taxes (Amt in Rs.)	
		Metros	Non-Metros
1	Principal, O/S , Chief Accountant	4000	3200
2	Senior Grade Lecturer	3000	2400
3	Selection Grade Lecturer, Training and Placement, System Administrator	2700	2200
4	Librarian , Lab Assistant, Peon	2000	1600
5	Attendant , Skill Assistant, Driver, Gardner , Security Guard	800	800 with food

Note : All bills shall be settled directly by the employees and reimbursement claimed at actual or based on eligibility, whichever is lower.

4. Boarding (Food) per day expenses in case of Hotel Stay:

Grade	Designations in the grade	Eligibility Limit for food expenses per day allowance (Amt in Rs.)	
		Metros	Non-Metros
1	Principal, O/S , Chief Accountant	1000	800
2	Senior Grade Lecturer	800	600
3	Selection Grade Lecturer, Training and Placement, System Administrator	700	500
4	Librarian , Lab Assistant, Peon	500	400
5	Attendant , Skill Assistant, Driver, Gardner , Security Guard	300	200

NOTE:

1. Only 50% of eligible food expense is admissible without bills.

In case of tours to multiple locations on the same day which falls under different city categories (Metros & Non-Metros), the boarding allowance applicable for the higher most city category for the day will be uniformly applied for the visit for entire day. However the eligibility for Lodging will be determined by the actual location of the place of stay In case of stay in guest house which includes of boarding facility, no boarding or lodging expenses can be claimed. However, in such cases, a miscellaneous expense to the extent of 10% of boarding expenses may be claimed.

2. All bills shall be settled directly by the employees and reimbursement claimed at actuals or based on eligibility, whichever is lower.

4.1 Travel: i) The mode & class of travel while on tour is specified below:

Grade	Designations in the grade	Eligibility (Amt in Rs.)	
		Metros	Non-Metros
1	Principal, O/S , Chief Accountant	I AC / Air fare LCA	I AC / Air fare LCA
2	Senior Grade Lecturer	II AC up to 500 Kms / By Air - LCA	II AC up to 500 Kms / By Air - LCA
3	Selection Grade Lecturer, Training and Placement, System Administrator	I AC / II AC	I AC / II AC
4	Librarian , Lab Assistant, Peon	Sleeper	Sleeper
5	Attendant , Skill Assistant, Driver, Gardner , Security Guard	Sleeper	Sleeper

4.3 LOCAL CONVEYANCE

In general, metered taxis are recommended at all levels. However, when a whole day of travel is involved, the following entitlements shall apply:

- Grades 1 to 2 : A/C Car (Indigo, Esteem, Scorpio) *
- Grades 3 to 5 : A/C Car (Indica /SUMO/OMNI)*
- Grades 6 to 7 : Bus /Auto

**The type of vehicle is indicative.*

Notes:

- 1. Travel statements shall be submitted within 7 days of taking travel.*

4.4 LOCAL CONVEYANCE REIMBURSEMENT

1. Objective

1.1 To govern the reimbursement of local conveyance (not amounting to a *Tour*) expenses when own vehicle is used for official purposes

2. Eligibility & Applicability

2.1 All employees on regular and contract rolls of SIOT

3. Policy & Procedure

3.1 Employees in grades 1 and above, using their own vehicles for official work in lieu of taxis are entitled to claim reimbursement at the following rates:

3.1.2 In Mumbai : Rs.1000/- per day.

Out side Mumbai : On actual kilometer basis.

3.1.3 Parking charges at actual subject to production of bills.

3.2 Employees using public transport or Autos will be allowed reimbursement at actuals.

3.3 Reimbursement should be claimed on a weekly basis.

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14. LEAVE POLICY FOR EMPLOYEES ON REGULAR ROLLS

1. Objective

1.1 To communicate the leave entitlements and provide guidelines for availing these leave.

2. Eligibility & Applicability

2.1 All employees on regular rolls of the Institute.

3. Policy & Procedure

3.1 Categories of leave available to the employees are: Casual Leave, Earned Leave, Maternity Leave, Academic Leave, Compensatory Off, summer and Winter Vacation, and Leave without Pay with permission.

3.2 For the purpose of leave, “Year” shall mean the Calendar Year commencing 1st January and ending 31st December.

3.3 All leaves shall accrue effective 1st January of every Year.

3.4 Employees shall apply for leave on prescribed formats or on-line.

3.5 Holidays and weekly-offs between the leaves will be treated as a part of leave only. Weekends and holidays are exempted in case of Casual Leave.

ENTITLEMENT & PROCEDURE FOR AVAILING LEAVES: LEAVE DEFINITION:

- **Earned Leaves / Privilege Leaves:** These are the leaves which are earned in the previous year and enjoyed in the preceding years. These are also known as privilege leave this can be carry forward. These are encashable on basic salary to the employee. The condition for taking these leaves normally in advance at least 15 days. This can be clubbed with sick leave if sick leave is not balance with the employee.
- **Casual Leave:** These leave are granted for certain unforeseen situation or were you are require to go for one or two days leave. In case of causal leave normally organization’s strict maximum to 3 days in a month. In these case either the person has to take permission in advance or has to be regulated on joining. This leave is normally never clubbed with privilege leave, but it can clubbed with sick leave if there is no sick leave balance. This leave is not encashable or never carried forward.
- **Medical Leave:** These leaves as name defines is for the employee who fell sick. These leave can be carried forward if balance with logic that a person can face severe illness which

may require him to take medication and leave during that period which normally recommended to carry forward. This accumulation also reduced the absenteeism due to small sickness. If person is sick for more than 3 days normally he is required to attach medical certificate and relevant reports and medicine bills.

- **Maternity Leave:** It is granted 3 months leave for an employee completed USSC probation period. It will be utilize as 3 weeks before the delivery or after the delivery. This leave can be extended upto one year also. But it will be consider Leave without Pay. The lady has to submit the fitness certificate before resuming the duty.

- **Leave without pay with permission:** If person do not have any leave to his balance and the situation warrants him to take the leave, the leave is granted by the organization as loos of pay or which may be adjusted against the future leave or as a special case the special paid leave based on the person contribution to the organization at management discretion.

- **Compensatory off:** These leave are granted if the person come on work during the holidays, normally compensated as leave to be taken at a time 1 to 3.

- **Sabbatical Leave (Study Leave):** Sabbatical leave may be granted to individual members of academic staff in order that they may dedicate themselves to one of three activity areas for the period of leave in order to achieve defined outputs. It is neither a reward for long service nor an entitlement but may be granted where it is aligned to the strategic priorities of the Institute and in line with the individual's career aspirations and development. All permanent members of academic staff are eligible to apply.

- **Outdoor duty**

- a) All outdoor duties will be undertaken only with the approval of the Head / Section in Charge with the proper sanction of the Principal of teaching and non- teaching staff.

- b) Applications from staff members for attending seminars, workshops, conferences, training programs, etc., will be forwarded with approval by respective heads to the principal for final approval and necessary sanction with necessary proofs.

- c) Any expense incurred during approval out station duty will be paid on actual basis if staff members are assigned any official work by the Institution.

- d) For re-imburement of expenses on approved out station duty, staff will need to fill up the voucher form and submit all relevant expense vouchers in support of the claim. In case of non – teaching staff taxi /Auto will be allowed only for urgent work/ emergency.

- e) The following types of leave are permissible to teaching as well as non-teaching staff.

LEAVE AVAIL RULES:

a. Casual Leave –

A total of 12 days of casual leave is allotted to all the staff members (teaching as well as non-teaching) on yearly basis i.e. 1 day of casual leave is credited for every month of service starting from 01st January. Any staff member joining the institute in between the calendar year is entitled to casual leave on a pro rata basis. All leave for teaching staff needs to be sanctioned through HODs and Principal. Leave for non-teaching staff needs to be sanctioned by Dean Admin/Dean Academics and Principal. Casual leave cannot be accumulated or carried forward into the next calendar. Casual leave on both

sides of Saturdays and Sundays, public holidays will be counted as C.L including holidays.

b. Earned Leave –

All non- teaching staff members are entitled for earned leave as per the following scale Earned Leave will be sanctioned only in summer and winter vacations period (except HR, Accounts, stores section). If Earned leave is of working 5 days in a week, maximum one of the Saturday and Sunday will be counted as Earned Leave.

Note: A maximum of 180 days of earned leave can be accumulated by non- teaching staff in

Period	Earned Leave Eligible	Period : Example (following is the example of one staff who join on 01.01.2016)
New joining upto 6 months	0	If staff joined on 01.01.2016 till 30.06.2016 = 0
After 6 month to one year	5	From 01.07.2016 to 31.12.2016 =05
After completing one year	5	From 01.07.2017 to 31.05.2018 =05
Until and Unless probation period started	5	In a year If starts from 01.06.2018 to 31.05.2019
Probation period start	20	In a year 01.06.2019 to 31.05.2020
After successfully completion of probation period	30	01.06.2020 to 31.05.2021

their entire service period. Earned leave can be en-cashed on yearly basis after the accumulation of 180 days earned leave. The encashment will be number of months of basic pay and DA only. All earned leave in excess of 180 days will be paid off by accounts in the salary for the month of December. Sundays and public holidays falling within the earned leave period must be counted. However, holidays may be either prefixed or suffixed with earned leave.

c) Compensatory off

Compensatory offs will be applicable to those members who remain present on holidays or Sundays for doing institution mandated work. If the remuneration is paid for the mandated work then no compensatory leave is permissible. For this purpose of leave it is necessary to get prior permission in writing from Principal and sign the holiday muster with the security gate. All record of compensatory offs will be mentioned by the Establishment Section. Two (2) CO's can be avail at any one time and the others can be carried forward. No CO's are allowed to be taken during academic period. Compensatory leave will not be granted to any staff of special classes, educational tours, University practical examinations, ISO, Accreditation, inspection of AICTE/UNIVERSITY, Other bodies, emergency works and special working on Saturday.

d) Medical Leave

All staff members (teaching as well as non- teaching) are entitled to 10 days of medical leave per year. This leave will be credited in the account of staff members in the beginning of year on 1st January. For staff joining in between the year, the medical leave entitlement will be on a pro rata basis. Medical leave exceeding minimum three days need to be backed up by Medical Certificate a Certified from Medical Practitioner failing which the period of absence will be accounted for by Leave without pay(LWP). Medical leave can be accumulated, but cannot be en-cashed under any circumstances.



e) Maternity Leave

Female employees are entitled for maternity leave of 90 days with full pay, if permanent in service, after completion of probation period. Otherwise, female employees will need to adjust any leave taken for maternity purpose against Vacation/EL/LWP.

f. Leave without pay (LWP)

If any staff member is not accounted for any leave category, but is yet absent without any intimation to reporting authority, then necessary administrative procedures will be initiated by head of the department and principal, and the case will be forwarded to GM (HR and Admin SES) and the absence will be treated as leave without pay. The employee will not be permitted to account for his/her absence by adjusting against other leave entitlements.

g. Sabbatical Leave / Special leave for pursuing research

- This leave shall be given, on a case to case basis, to those who have registered for Ph.D and cleared their pre- Ph.D course work, for a maximum period of a fortnight.
- The leave needs to be approved by the Principal.
- The Principal shall call for supporting recommendation letter from a faculty's Ph.D guide for granting the approval.
- The unutilized Special Leaves can neither be carried forward nor encashed.

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15. INTERNAL PROMOTION POLICY FOR FACULTY

1. Preamble

1.1 This policy governs the promotions for the faculty so as to encourage scholarship through high quality teaching, research and Institutional commitment.

2. Eligibility

❖ Senior Selection Grade Lecturer [Promotion Order]:

➤ Minimum of 5 years' experience in teaching and / or research and / or industry of which at least 2 years shall be post PhD is desirable. Post ME/MTech publication and guiding ME/MTech student is highly desirable as per AICTE norms.

➤ ME/MTech pursuing with 10 years of experience in teaching and / or research and / or industry / Publication in referred journals / conferences can be promoted as Associate Professor as per SES policy.

❖ Selection Grade Lecturer ([Promotion Order]:

➤ Minimum of 10 years teaching and industrial experience of which at least 5 years should be at the level of Associate Professor. Or Minimum of 13 years' experience in teaching and /or Research and /or Industry. In case of research experience, good academic record and books/research paper Publications IPR/ patents record shall be required as deemed fit by the expert members in Selection committee. If the experience in industry is considered, the same shall be at managerial level equivalent to Associate Professor with active participation record in devising/designing, planning, executing, analyzing, quality, control, innovating, training, technical books/research paper publications / IPR/ patents, etc. as deemed fit as per DTE norms.

2.1.2 Prescribed research output

2.1.3 Acceptable teaching feedback

2.1.4 Demonstrated academic administration

➤ ME/MTECH submitted with 10 years of experience in teaching and /or Research and /or Industry. In case of research experience, good academic record and books/research paper Publications IPR/ patents record shall be required as deemed fit by the expert members in Selection committee. If the experience in industry is considered, the same shall be at managerial level equivalent to Associate Professor with active participation record in devising/designing, planning, executing, analyzing, quality, control, innovating, training, technical books/research paper publications / IPR/ patents, etc as per SES policy.

2.1.2 Prescribed research output

2.1.3 Acceptable teaching feedback

2.1.4 Demonstrated academic administration

2.2 The Eligibility shall stand modified in the following cases:

2.2.1 For those whose probation may have been extended, the 5 year period will commence only after confirmation.

2.2.2 For those who may not have cleared the ratification on the first attempt, the 5 year period will commence only after the date of ratification

2.3 The Eligibility conditions may be extended at the discretion of the Management, in the following cases:

2.3.1 Faculty whose annual increments are on hold/delayed/deferred for want of fulfillment of academic commitments

2.3.2 Faculty with track record of misconduct

3. Policy and Procedure:

3.1 When ME/MTech is just completed, completion shall mean possessing certificate of completion of ME/MTech from the degree awarding Institution (or provisional degree certificate)

3.2 Indicated Output (Selection Grade Lecturer)

3.2.1 At least 2 papers in peer-reviewed and respected journals (with not more than two co-authors); 2 conference / seminar papers in reputed conferences/ seminars. Participation in sponsored research projects will add significantly to the credit.

3.2.2 Teaching feedback from the students above 4 on a 5 point scale. It will also be expected that the pass-percentage of students taught by the faculty shall not be less than 85%.

3.2.3 Proactive and enthusiastic participation in such tasks of academic administration tasks as may have been asked, required or expected of the faculty by the Management.

3.3 Indicated Output (Selection Grade Lecturer)

3.3.1 At least 3 papers in peer-reviewed and reputed journals as the first author* (with not more than two co-authors); 3 conference/seminar papers in reputed conferences/seminars (which are shortlisted in the Dept.). Leading role in sponsored research projects will add significantly to the credit.

3.3.2 Teaching feedback from the students above 4 on a 5 point scale. It will also be expected that the pass-percentage of students taught by the faculty shall not be less than 85%.

3.3.3 Proactive and enthusiastic participation in such tasks of academic administration tasks as may have been asked, required or expected of the faculty by the Management.

3.3.4 The UGC is planning to introduce a system of *Academic Performance Indicator (API)*. In due course, SIOT shall endeavor to link the promotion conditions to API. Until such time, the above framework shall be applied

4. Administration of the Promotions:

4.1 Separate Promotions Recommendations Committee shall be constituted.

4.2 Committee shall comprise

4.2.1 Principal

4.2.2 Registrar

4.2.3 Academic Coordinator

4.2.4 Head of the Department to which the staff belongs

4.3 Of the above four, at least three must support a promotion

5. Grievance Redressal.

5.1 Faculty shall have the right to represent their grievance to their HOD.

5.2 The HOD shall redress the grievance within 15 working days, failing which the grievance may be escalated to the next higher level.

5.3 If the grievance persists for over one month, the matter may be escalated to the Principal.

Note: The above are only eligibility criteria. Mere eligibility to promotion does not entitle one to promotion.

The management may in exceptional circumstances relax or extend the eligibility criteria, at its discretion.

* When the faculty is a second author and not the first author, two publications as the second author shall be counted as equivalent to one publication as the first author.

When a faculty joins SIOT from another Institution, if that institution is regarded comparable to SIOT, the earlier experience may be counted for the purpose of eligibility period.

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16. INTERNAL PROMOTION POLICY FOR NON-TEACHING STAFF

1. Objective

1.1 To provide a detailed framework for advancement of career for the staff in a manner that shall incentivize superior work performance and provide for greater recognition of efforts

2. Eligibility

2.1 All non-teaching staff

3. Policy & Procedure

3.1 Pre-requisites for promotion

- Promotions shall always be subject to appropriate vacancy in the higher grades, except when the management, at its discretion, enhances a job at a given grade to a higher grade.
- A promotion must always lead to an enhanced responsibility in the organization.
- The Employee shall have the potential, beyond mere eligibility, to take up higher role / responsibility.

3.2 Eligibility for promotion

- Requisite performance rating in the previous years
- No adverse remarks/reprimand in the personal file in the preceding three year.
- Requisite educational qualifications as per Job Description
- No. of years of experience in the existing grade

However, mere eligibility is not a criteria for promotion.

3.3 Promotion Process

The process governing the promotion cycle is as under:

List of eligible employees (LEE): HR Department shall prepare List of Eligible employees by April 30th.

Communicate LEE to HODs: The List of Eligible employees shall be sent to the respective HODs for their Recommendation

Promotion Recommendation Form (PRF): The HOD shall fill in the Promotion Recommendation Form for the employee recommended for promotion and send it to the HR department by specified timeline.

Verification and submission of Promotion Recommendation Forms by HR Department to Principal: In order to ensure due justification for a promotion, new job description shall be entered in the PRF. HR shall then submit the PRFs to the Principal.

HR department shall bring any exceptional cases recommended for promotion to the notice of the PRINCIPAL.

Review of PRFs: A duly constituted Promotion Recommendation Committee (PRC) shall review all the LEE cases and submit their final recommendations to the SECRETARY for approval. The PRC will comprise the following:

- General Manager - HR
- Principal, SIOT
- Registrar
- Concerned Heads of Departments (SIOT)

4. Approving Authority: Secretary, SES will be the approving authority for all promotions. A proper statement giving all the details of the employee being recommended for promotion, together with the justification for the promotion, shall be submitted to the Secretary. All the promotion letters will be then be signed and issued by Registrar.

5. Responsibility of the Promotion Recommendation Committee

- To scrutinize, review and discuss all PRFs diligently in terms of eligibility, ascertain the staff member's ability to take up higher responsibility in the promoted position, before making the final recommendation.
- HR shall verify the job description and the new Job Description provided by the HOD.

6. Implementation

Promotions shall be taken up only once in a year.

As a rule, all promotions shall be effective from July 1st. Exceptions, if any, shall be approved by the GM –HR and Secretary. Promotion letter along with the Job Description shall be prepared by HR and handed over to the HOD.

- All promotions letters shall be handed over to the employee by the HOD.

Eligibility for Promotion

Performance Rating	Eligibility for promotion
Outstanding	Minimum of 2 years of Outstanding rating
Excellent	Minimum of 3 years of outstanding or excellent rating
Good	Minimum of 4 years of consistent performance
Previous year: Outstanding 2 years before: Excellent 3 years before: Good	An increasing trend of performance is also considered for eligibility for promotion

The details mentioned above are only the eligibility criteria, but does not mandate promotion.

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17. TIME AND ATTENDANCE MANAGEMENT POLICY

1. Objective:

- 1.1 To communicate the general office / college timings of the institute
- 1.2 To lay down the general guidelines to record the attendance by everyone in the institute as per the applicable timings

2 Applicability

- 2.1 All employees on regular rolls and on contract are covered under this policy

3 Procedure

3.1 Employees and Students are expected to come to their workplace, on all working days, at the designated time and mark attendance either in the manual attendance register or in biometrics, as the case may be. They are expected to do this again at the time of leaving the workplace at the end of the working day as well.

3.2 **Grace Period:** Up to 05 minutes after the designated starting time is considered as “grace period”. The marking of attendance beyond grace period is permissible only twice a month for a maximum time of another 05 minutes. From the third instance of such late arrival to the workplace, half day casual leave will be debited from the leave account of the employee. If there is no casual leave to the credit of the employee, half day of any other type of leave to the credit will be debited. In case there is no leave available at credit, then half day salary will be debited from the employee for the month. The names of the employees exceeding the number of instances of grace period in a quarter will be notified to the Head of the Department.

3.3 Employees are expected to register out station duty like tours, trainings etc. either in advance or immediately after resuming the work. The intimation of this should be provided to the HR after approval of HOD.

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18. CODE OF CONDUCT

1. Preamble

1.1 SARASWATI INSTITUTE OF TECHNOLOGY believes that for an institute to succeed, grow and excel, it needs to be anchored to its Values and Beliefs and motivate all its employees to consistently display these values in the course of their interactions.

1.2 The Code of Conduct and Ethics, articulated below, embodies the Institute's Values and Beliefs and endeavors to lay down guidelines for employees to follow in their day to day work life.

1.3 All employees are requested to read and imbibe the Code of Conduct and Ethics and follow it in letter and spirit, so as to maintain the highest standards of values in their conduct to achieve institute's objectives.

1.4 The Institute's Values and Beliefs shall act as the guiding principle in the enumeration, interpretation and periodic review of the Code of Conduct and Ethics.

2. Objective

2.1 The Institute prides itself on the high standards embodied in its working principles. The institute expects its employees to adhere to these in their day to day activities.

2.2 The following Code of Conduct and Ethics is intended to provide guidelines for the Professional, Ethical, Legal and Socially Responsible behavior that the institute expects from its employees.

3. Applicability

3.1 All employees on regular rolls of the institute including employees on contract governed by this Policy.

3.2 Employees are the representatives of the institute and hence are expected to demonstrate high degree of discretion and astute judgment in their dealings.

3.3 Although due care has been taken to address most conceivable situations, it is not possible for this Code to cover every situation that may arise. In circumstances where employees are unable to consult an appropriate person in the Institute, they are expected to

use sound reasoning and good judgment in handling the situation in the interest of the Institute and its Values.

4. Policy Guidelines of Conduct

4.1 National Interest: SARASWATI INSTITUTE OF TECHNOLOGY is committed in all its actions, to promote quality education and shall neither engage in any activity that would adversely affect such objective, nor shall undertake any activity or project which is to the detriment of the national interests.

4.2 Use of the SIOT Brand: The use of SIOT name, logo and trademark shall be governed by manuals, codes and agreements as issued by the Institute. No employee, third party or joint venture shall use the SIOT Brand for any purpose without specific authorization.

4.3 Group Social Responsibility: SIOT Group's Social Responsibility is aimed at anticipating and meeting relevant, emerging needs of the society in the areas of Education, Community Service, Health & Hygiene and Livelihood. The Group encourages its employees and their families to actively participate in CSR activities.

4.4 Competition: SARASWATI INSTITUTE OF TECHNOLOGY shall market its services on its own merit and shall not make unfair and misleading statements about competitors' services. Any collection of competitive information shall be made only in the normal course of business.

4.5. Quality of Services: SIOT is committed to deliver services of world class quality based on the requirement of its Customers and built to National and International standards.

4.6. Equal Opportunities: SIOT shall provide equal opportunities to all employees and treat them with dignity. All decisions pertaining to eligibility, qualification and selection of applicants in all matters will be based on merit. No discrimination shall be made based on Community, Race or Gender.

4.7 Accurate and Complete Accounting: Employees shall use Institute's funds and other property solely for the benefit of the Institute. All disbursements must be lawful and consistent with Institute's policies.

No unrecorded fund, reserve, asset or special account shall be set up or maintained for any purpose. No false or fictitious entries shall be made in books, records, accounts, or in Institute communications for any reason. No payment or transfer of funds or assets (such as tangible and intangible) shall be made for any purpose other than what is specifically authorized or is clearly within the discretion granted by the Institute.

Employees are responsible for accurate and timely record keeping for all Institute's assets, liabilities, revenues and expenses in compliance with accepted accounting rules and

controls. All books, records and documents must accurately and completely describe the transactions.

4.8 Settlement of Expenses: Employees shall settle all the expenses incurred on account of travel, loans & advance etc, as per the guidelines stipulated in the Policy/Policies.

4.9 Protection of Intellectual Property: Copyright of all designs, drawings, formulas, charts, methodologies, inventions, etc., shall be treated as “Work made for hire” and the intellectual property rights over the same shall vest with the Institute

4.10 Confidentiality and Non-disclosure: Employees shall ensure that all information available to them in the course of employment in the Institute are kept strictly confidential and she/he shall not disclose to any party except to the extent necessary for the purpose of due performance of her/his service/discharge of her/his duty to the Institute.

An employee of SIOT Group and her/ his immediate families shall not derive any benefit or assist others to derive any benefit from the access to the insider information about the Group, including information which is not available publicly.

Such insider information may include among other things:

- a) Merger or acquisition, divestment of businesses or business units
- b) Data or information such as profits, earnings and dividends etc.
- c) Investment decisions, assets revaluation, restructuring plans etc.
- d) Major supply and delivery agreements

4.11 Policy and Process Integrity:

Antitrust or Fair Trading- Employees shall avoid any discussions or agreements with competitors about prices or credit terms, submission of bids or offers, allocation of markets or customers, restrictions on production, distribution or boycotts of suppliers or customers that would result in monopolization or anticompetitive markets.

Falsification or Destruction of information- No employee shall make any statement or do any act that encourages or results in unlawful, untimely, false or intentional misrepresentation, concealment or destruction of information in order to deceive or mislead.

4.12 Using equipment and consumable resources: Employees shall ensure that all departmental equipment, resources, and consumable items are used for the work and business of the Department.

This excludes certain:

- a) Limited, occasional and brief private telephone calls and faxes
- b) Limited and occasional use of a photocopier
- c) Limited and occasional use of the departmental email and Internet system subject to the government policy on use of the Internet and electronic mail

4.13 Using the Internet, Intranet, and Electronic mail

Employees shall avoid using of computers for sending, receiving, and/or copying inappropriate material.

Employees will ensure that the transmission of information via communication and information networks and devices are made only if authorized to do so and in accordance with the relevant departmental protocols.

Employees will avoid sharing of password with another person, share another person's password/s, or record password/s which can be misused

The Department monitors the use of these networks and devices, and an employee may be called upon to explain her/his use of them.

4.14 Protecting Institute's assets

Misuse of Resources- Employees shall avoid any improper, unauthorized or unlicensed use of property or resources for non-business related reasons or purposes including improper use of systems and timekeeping.

Theft- Employees shall avoid any unauthorized removal or taking of supplies, equipment, furniture, fixtures, products, cash, merchandise or other tangible property of the Company.

4.15 Unethical Transaction:

No employee shall assist in the misuse of Institute's funds, irrespective of the amount involved, including, the misappropriation of such funds for her/his personal benefit, or customers.

All payment and transfers of premium and other items of value shall be made openly and must be disclosed and duly authorized by the concerned authority.

Gifts and Entertainment: Except in connection with and specifically pursuant to programs officially authorized by the institute, no employee shall accept, directly or indirectly take any money, objects of value, or favors / discounts from any person or other company/institute/organization that has or is doing or seeking business with the Institute. All employees must disclose authorized transactions of this nature to the officer. All payments or transactions must be consistent with applicable laws and accepted practice and must be accurately recorded in the institute's books and records

4.16 Relationship with Government and Public officials: An employee of SIOT may occasionally contact government and regulatory officials to keep them informed about her/his operations and positions on issues. She/he is responsible for these contacts and must understand and obey the laws governing lobbying activities and reporting requirements. She

/ He should also be familiar with specific rules set by individual agencies or other governmental bodies.

4.17 Compliance of applicable law by Expatriate Employee: All Expatriate employees shall be responsible for obtaining and retaining a valid Work Permit / Residence Permit / Employment Visa, during the subsistence of her/his engagement with the Institute. The employee shall duly adhere to all rules, regulations and/or such other conditions imposed by any Government Authority. The employee shall keep the institute duly indemnified against all loss, damages, costs, expenses, proceedings, prosecution etc, arising out of any violation of the terms and conditions of the applicable laws, rules, regulations and orders passed in that regard.

4.18 Public Representation: No employee shall, without the express consent of the /Management/ Competent Authority, call for Press meets, brief the Press or speak to the Media or participate in discussions, forums etc. in the media, to discuss any issues related to the activities of the institute or future prospects or projections of the Institute.

4.19 Charitable Contributions: Although employees are encouraged to be socially responsible and politically active, Employees may not contribute the institute's funds or assets to any Charitable Institution or similar Institution, unless such contribution is expressly permitted by law and has been pre-approved by the appropriate, authorized representative of the Institute.

4.20 Political Activity:

No employee shall involve in any political activity directly or indirectly.

No SIOT employee shall canvas for any political party or candidate at any point in time.

Employees may not contribute the Institute's funds or assets to any Political Candidate, Party unless such contribution is expressly permitted by law and has been pre-approved by the appropriate, authorized representative of the Institute. Any SIOT employee who stands in elections for any public office may do so after informing the concerned authority within the Organization. Further, if elected to the post, the employee has to resign from the services of the SIOT Group to pursue his public / political career.

4.21 Regulatory Compliance: Every employee shall, in her/his business conduct, comply with all applicable laws and regulations, both in letter and spirit, in all the areas in which one operates.

4.22 Third Party Representation:

Third Parties which have business dealings with SIOT but are not members of the SIOT Group, such as Consultants, Agents, Contractors and Suppliers are not authorized to represent a SIOT Group without the written permission. A Nondisclosure agreement is to be signed with the Third parties to support the confidentiality of the information. Third Parties

and their employees are expected to abide by the Code in their interaction with and on behalf of SIOT.

4.23 Sexual Harassment and other harassment policy:

SIOT Group recognizes that Sexual Harassment violates fundamental rights of gender equality, right to life and liberty and right to work with human dignity as guaranteed by the Constitution of India. To meet this objective, measures shall be taken to avoid, eliminate and if necessary impose punishment for any act of sexual harassment, which includes unwelcome sexually determined behavior as per the Group's policy against Sexual Harassment.

4.24 Other Harassment:

The Group prohibits harassment of one employee by another employee or supervisor on any basis including but not limited to race, color, religion, marital status, national origin, physical or mental disability and/or age.

The purpose of this policy is not to regulate our employees' personal morality. It is to assure that in the workplace, no employee harasses another.

Harassment includes but is not limited to slurs, epithets, threats, derogatory comments, unwelcome jokes and teasing.

4.25 Ethical Conduct

SIOT Group expects its employees to maintain high moral and ethical standards. These standards are characterized by honesty, fairness, equity in interpersonal and professional relationships as well as in our day-to-day activities. A SIOT employee is supposed to inform in case, if he deviates from the above standard. (or if any case is filed against him)

No SIOT employee shall engage himself in any business activity. Further, if he directly or indirectly recommends any of his friends / relatives for any business dealing with SIOT Group, he must disclose the nature of such relationships and transactions beforehand.

4.26 Dress Code:

SIOT Group's expects its employees to follow a dress code which helps them to work comfortably at the workplace and at the same time project a professional image for our students, potential employees and the community we are a part of. Hence, it is essential that all employees take pride in her/his appearance and maintain proper dress code and general appearance during office hours. Employees are expected to dress neatly and in a manner consistent with the nature of the work performed.



4.27 Environment, Health & Safety

Environment, Health, Safety and Laws of the land – Employees shall adhere to the laws of the land – wherever they are – and shall not violate, cause or any action that impacts the Environment and the Health and Safety of SIOT Employees, Customers and at the Community at large.

Substance Abuse- To meet our responsibilities to Employees, Customers and Investors, the Group shall maintain a healthy and productive work environment. Misusing controlled substances or selling, manufacturing, distributing, possessing, using or being under the influence of illegal drugs and alcohol on the job is absolutely prohibited.

Threats and Physical Violence- No employee shall use threatening words, or assault or commit acts of violence or possess weapons, firearms, ammunition, explosives or incendiary devices in the workplace, on work premises or in work vehicles or elsewhere.

The list of behaviors, while not inclusive, provides examples of conduct that is prohibited by this policy:

- Causing physical injury
- Making threatening remarks
- Aggressive or hostile behavior that creates a reasonable fear of injury to another person or subjects another individual to emotional distress
- Intentionally damaging employer property or property of another employee
- Committing acts motivated by or related to sexual harassment or domestic violence.

No Smoking- Smoking is strictly prohibited in the premises of the workplace. Appropriate actions shall be initiated against any person found contravening with the policy of this code.

4.28 Disciplinary Actions

All employees covered under this Code of Conduct and Ethics are required to adhere to the principles and rules laid down in this code. Failure to do so will attract appropriate action including disciplinary action against the employee who is found to violate these principles. Disciplinary action may include immediate separation of employment or any other action as deemed fit at the Institute's sole discretion. The Institute will recover any loss suffered by it due to violation of the provisions of this code by any employee.

Disciplinary Proceedings against the delinquent employee shall be conducted in accordance with the principles of natural justice.

The employees of the Compliance Committee and/or employees of Audit Committee will be notified of any concerns about violations of standards for conduct of business, ethics, laws, rules, regulations or this Code.

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19. POLICY AGAINST SEXUAL HARASSMENT

1. Introduction

1.1 SIOT Group recognizes that sexual harassment violates fundamental rights of gender equality, right to life and liberty and right to work with human dignity as guaranteed by the Constitution of India. To meet this objective, measures shall be taken to avoid, eliminate and if necessary impose punishment for any act of sexual harassment, which includes unwelcome sexually determined behavior. Sexual Harassment is a criminal offence and punishable under relevant laws of the Country.

2. Policy against sexual harassment

2.1 For this purpose, "Sexual Harassment" includes any unwanted or unwarranted gesture or verbal sexual advances, sexually explicit and derogatory statements or remarks, sexually coloured 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, use of pornographic material, demand for sexual favors, demanding sexual favor by making telephone calls or sending SMS/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 work place which may contain :

2.1 Implied or overt promise of preferential treatment in that employee's employment

2.2 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.

2.3 The conduct interferes with an employee's work or creates an intimidating, hostile or offensive work environment.

2.4 Such conduct that is humiliating and may constitute a health and safety Problem.

2.2 Sexual Harassment" amounts to serious misconduct in employment under the service rules / regulations governing employment.

2.3 This policy on Sexual Harassment applies to men and women; to like and opposite gender relationships; to relationships between supervisors and subordinates; teachers and students; doctors and patients; and peer relationships. SIOT Group 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 must comply with this policy.

3. Objective

3.1 SIOT Group is strongly committed to having a workplace that ensures Equal Employment Opportunity. Group endeavors to ensure a congenial environment where employees can work without any inhibition and contribute their best without any fear or favor.

4. Applicability

4.1 This policy applies to all SIOT Group employees, In-House Consultants, Advisors and Employees on Contract. As a policy it applies to all locations, situations where SIOT's business is conducted, in activities run in partnership with us and to all Institute sponsored social events.

5. POLICY & PROCEDURE

5.1 The Committee against sexual harassment will be represented by minimum 50% of members being women and the committee head will also be a woman.

5.2 Any person who wants to complain on sexual harassment is required to promptly inform the Committee against sexual harassment of such complaint, in writing and duly signed.

5.3 All complaints of sexual harassment shall be addressed in a confidential manner.

5.4 The Complaint will be investigated in a time-bound manner in accordance with principles of natural justice and a detailed report shall be maintained.

5.5 Based on the recommendations of the committee the Management will initiate action, as deemed appropriate.

5.6 Where the alleged conduct amounts to misconduct in employment under any Group's policy, appropriate disciplinary action shall be taken.

5.7 In case the employee who has made the complaint feels that the Committee against sexual harassment has not provided her/him due justice, the complaint can be escalated to the Group Chairman.

5.8 The committee will maintain Complaints Register/Soft Copy, keeping a track of complaints received, when the process began, procedure followed and date of closure.

5.9 Action will be taken based on the recommendation of the committee and will commensurate with the degree of offence.

5.10 The policy also prohibits retaliation against any employee who brings an accusation of discrimination of sexual harassment or who assists with the investigation or resolution of sexual harassment.

5.11 This policy shall be displayed prominently in our SIOT Intranet Portal, ensuring that all employees are aware of the same.

5.12 The time frame for investigating and closing the case is 3 months from the time it is brought to the notice of the Committee.

6. Frivolous or false charges

6.1 This policy shall not be used to bring forth frivolous or malicious charges against fellow employees. The SIOT Group may take Disciplinary action under appropriate policy concerning personal misconduct as per the Code of Business Conduct and Ethics shall be taken against any employee bringing a false Accusation/ Charges of Sexual Harassment.

7. Committee against Sexual Harassment

7.1 The committee against Sexual Harassment will comprise of the following members:

Particulars	Role
Dr. D.R.Suroshe	Principal
Yogita Wasu	Sr.Grade Selection Lecturer
Jaslok Pandey	HOD
Mr.Sachin Yadav	O/S
Datta Bangar	HOD
Shaikh Naznin	Ladies Representative
Arjun Kadam	HOD
Smita Kuldiwar	HOD

7.2 The names of the above members will be circulated from time to time and will be displayed on the SIOT intranet Portal (G-Net).

7.3 The registration of the complaint could be through e-mail or by way of a written complaint. Necessary arrangements shall be made for both modes and details will be displayed prominently at every business location and on the SIOT Intranet Portal.

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20. GRIEVANCE MANAGEMENT POLICY

1. Introduction

1.1 Individual Employee grievances and complaints which are primarily a manifestation of their dissatisfaction about working conditions, managerial decisions, if not promptly attended to may affect morale and productivity.

1.2 There is a need for formal grievance process to address such matters.

2. Objectives:

2.1 The objectives of the grievances process will be to settle:

2.1.1 Grievances of the employees in the shortest possible time

2.1.2 At the lowest possible management level

2.1.3 With appellate stages so that it is fair, transparent and reasonable.

3. Eligibility & Applicability

3.1 All employees on regular rolls of the institute including contract employees

4. Scope and Coverage

4.1 Grievance for the purpose of this policy would mean dissatisfaction arising out of the decision of the Management concerning the employee.

4.2 Grievances for the purpose of this policy will cover individual grievances such as:

Payment of Salary

Recoveries of dues etc.

Increment *

Working conditions/Health & Safety

Leave

Non-extension of benefits under rules

Promotion*

Administration or Academic issues

HR Policy administration

Compensation & Benefits*

Related to Appraisals

Reimbursements

Interpersonal Conflicts/Issues with the HOD or team members Role fit

Only grievance affecting an individual employee may be raised.
Separation/Retention

NOTE: Grievance can be raised within 2 weeks from the date of issue of an increment/promotion letter.

4.3 The grievance arising out of the following will not come under the purview of the grievance procedure:

Terms of appointment settled prior to joining
Matters relating to disciplinary enquiry action

Where the grievance does not relate to an individual employee

5. Procedure for handling Grievances

The individual can raise grievance according to this procedure:

5.1 STAGE-I

5.1.1	The aggrieved employee may take up the grievance in writing with the HOD, who must try to resolve the grievance at that level within 5 working days.
5.1.2	In case any grievance needs more than 5 working days to resolve, the respective employee should be informed in writing in Form – I within 5 working days of the receipt of grievance by the HOD.
5.1.3	In case the employee is not satisfied with the redressal of the grievance he/her may submit the grievance, in writing, to the Principal within 2 working days from end of 4.1.1 stage above with a copy to HR.
5.1.4	The Principal will record comments on the grievance form within 5 working days after making necessary enquiries and discuss with HR.
5.1.5	In case of any delay in resolving the grievance, the Principal will inform the aggrieved employee with a copy to HR of such a delay with reason from 5 working days of receipt of the grievance and commit to a resolution date not exceeding an extension time of 4 working days.
5.2 STAGE- II :	

5.2.1	In case the employee is not satisfied with the decision communicated to him/her at Stage-I or if she/he fails to receive the reply within the stipulated period, she/he may submit the grievance within a period of 2 working days from the date he/her receives final reply in stage I to Principal who must give a personal hearing to the grievance and a brief of same should be documented.
5.2.2	The Principal will examine the grievance in detail including discussions with the aggrieved employee, as necessary. The Principal will give his /her reply to the aggrieved employee within 10 working days from the date of receipt of the grievance. Principal may consult an expert neutral consultant or committee before taking final decision on the grievance.
5.2.3	Grievances pertaining to PMP such as Promotion, Compensation &

Benefits or Performance Management Process on whole, the normalization process followed in the business will be invoked subject to there being a strong prima facie case for review as decided and recommended by Principal.

5.3 STAGE- III :	
5.3.1	The aggrieved employee who is not satisfied with the decision of the Principal will have an option to appeal to SECRETARY with the detailed reasons for the appeal.
5.3.2	The SECRETARY will take a decision and communicate the same within 7 working days from the receipt of the appeal and the decision will be final and binding.

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21. HIGHER EDUCATION POLICY FOR FACULTY

1. Preamble

1.1 This policy is in line with the CEP Policy outlined by DTE.

1.2 The policy is aimed at supporting the existing faculty in pursuing full time ME/M.tech/Ph.D. with study leave.

2. Applicability

2.1 Only for pursuing ME/M.tech/Ph.D. with premier institutions or as approved by the management.

2.2 Ordinarily, only one faculty per 10 faculty in a department shall be eligible (on first come first served basis) to avail the facility of study leave under this policy.

2.3 However, depending upon other considerations, the Management may entertain more or less candidates than indicated in clause 2.2.

2.5 Faculty should have completed at least 2 years of service in SIOT to be eligible for study leave under this policy.

3. Procedure

3.1 Faculty planning to proceed for their PhD will inform the Principal of the Institution from and the time frame over which they plan to pursue their PhD. The Principal shall give in-principle recommendation to proceed. However, the actual sponsorship of the candidate under QIP will be subject to the overall criteria governing the number of candidates in each department and other considerations governing the scheme, and will be decided by the Committee (mentioned in 3.2).

3.2 The faculty shall submit a formal application in prescribed form for sponsorship under CEP (Annexure) to the HOD, who shall forward the application to the committee with his comments. A Committee consisting of HOD, Associate Dean (R&D), Principal will take the final decision in this regard, keeping in mind the overall faculty situation.

3.3 Based on the recommendations of the committee, the study leave would be sanctioned for 3 years or less (in exceptional cases).

3.4 After successful completion of the ME/Mtech/Ph.D. the faculty shall resume duty at SIOT and should serve the institute for a period of 3 years from the date of award of ME/Mtech/Ph.D. This period of service would be treated as Adhoc service.

3.5 It is possible that a faculty may not have completed the entire requirement of ME/Mtech/Ph.D in the prescribed time of 3 years, and shall pursue the remaining part of the dissertation work from SIOT. It is also possible that a faculty can join back SIOT ahead of completion of leave period if he submits the dissertation in advance. In such cases, the Adhoc period of service shall apply as prescribed earlier in Clause 3.4 that is 3 years from the date of award of ME/Mtech/Ph.D.

3.6 For the purposes of career advancement, as a special gesture, the management will treat the leave period as continuity of service (Thus, the increments for the period of study leave shall be protected. Upon resuming duties faculty may be considered for promotion, if they fulfill the stipulated promotion eligibility conditions.

3.7 Before proceeding on leave, the faculty shall sign an agreement with SIOT to serve the Institute, upon their return from leave, for a period of 3 years from the date of award of degree. In case a faculty violates the agreement in due course, or does not submit the dissertation within two years of rejoining the Institute or does not successfully defend the thesis within three years of rejoining the institute.

3.8 Fellowship is only for a duration of 36 months. If, for any reason, the candidate extends the leave and does not report back to the institute in the stipulated time, the period beyond the end-date of leave will be treated as leave and after that faculty has to report back to the institute.

3.9 Upon rejoining, the faculty shall be fitted in the same scale at which he or she left, with suitable additional annual increments that would have applied to him/her, prospectively from the date of joining.

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22. RETIREMENT FROM SERVICE:

All teaching and non-teaching staff shall retire on completing the age of superannuation, which is 60 for teaching and 60 non-teaching.

The College will communicate in writing before 6 months of retirement, as a measure of assistance to the retiring employee.

If the retiring employee has accumulation of annual leave to his/her credit, the same can be availed in the period preceding his/her retirement by making application to the Principal and appropriate sanction by authority.

The age of superannuation as mentioned above shall not be applicable to the Professors of Special Category appointments.

ISSUE DATE: August 16, 2016	APPROVED BY: Mrs.Vrushali Deshmukh DESIGNATON: Secretary SES
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