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## Chapter 1

### Preliminary

#### 1. Short Title

These Regulations may be called the Alliance University Human Resources Policy and Regulations.

#### 2. Application

These Regulations shall apply to each employee of Alliance University, unless otherwise provided by the terms of any contract, an agreement or a letter of appointment.

#### 3. Definitions

The following definitions hold true.

- 1.3.1. "**Academic Year**" means the year beginning on such date as the University or the prescribed authorities, by notification.
- 1.3.2. "**Appointed on Probation or Appointed on an Officiating Basis**" means appointed on trial for a specific period of time.
- 1.3.3. "**Appointing Authority**" means the Chancellor or any other authority empowered and duly vested with powers to engage or to appoint any person in the services of Alliance University.
- 1.3.4. "**Appellate Authority**" refers to the Chancellor or any other authority that is empowered and vested with such powers for the specific purpose.
- 1.3.5. "**Competent Authority**" means the Chancellor or any other authority that is empowered and vested with such powers for specific purposes.
- 1.3.6. "**Continuous Service**" means the service of an employee from the beginning of the employee's service without any break.
- 1.3.7. "**Contract Employee**" means a person appointed to work on contract for a specific period and on specific terms and conditions of appointment.
- 1.3.8. "**Emoluments**" means the aggregate of salary and such other allowances by whatever name called, drawn by an employee, except conveyance or special allowances.
- 1.3.9. "**Employer**" means the Alliance University or any other authority so notified by the Chancellor for specific purposes.
- 1.3.10. "**Reporting Officer**" is defined as an authority to which an employee reports and includes the head of the department (HoD).
- 1.3.11. "**Family**" means and includes the spouse of the employee and two dependent children (the first two issues) but shall not include a legally separated spouse.
- 1.3.12. "**Financial Year**" means the period commencing from the first day of April of a year and ending with the 31st day of March of the succeeding year.
- 1.3.13. "**Service**" means service in Alliance University in whatever capacity and includes the period from the day of joining the University till the cessation of the employment.

- 1.3.14. "University"** means Alliance University, established Karnataka State by Act No. 34 of year 2010.
- 1.3.15. "Week"** means a period of Monday-Starting day of work week.
- 1.3.16. "Re-employment"** means faculty members or staff re-joining after a gap of a few months/ years.

## Chapter 2

### Appointments and Probation

#### 1. Classification

The employees of the University shall be classified as follows:

##### 1.1 Faculty

- I Professor
- II Associate Professor
- III Assistant Professor
- IV Teaching Assistants/Research Associates

##### 1.2 Staff

- Class I : Director; Registrar; Finance Officer; Legal Officer
- Class II : Deputy Registrar; Deputy Director; Assistant Registrar; Assistant Director
- Class III : Manager; Deputy Manager; Assistant Manager; Senior Executive; Executive
- Class IV : Support Staff and Maintenance Staff

#### 2. Appointing, Disciplinary and Appellate Authorities

Category of Employees	Appointing Authority	Disciplinary Authority	Appellate Authority
Faculty	Vice Chancellor/ Pro Vice-Chancellor	Vice Chancellor/ Pro Vice-Chancellor	Chancellor
Staff			
Class I	Vice Chancellor/ Pro Vice-Chancellor	Vice Chancellor/ Pro Vice-Chancellor	Chancellor
Class II	Vice Chancellor/ Pro Vice-Chancellor	Vice Chancellor/ Pro Vice-Chancellor	Chancellor
Class III	Vice Chancellor/ Pro Vice-Chancellor	Vice Chancellor/ Pro Vice-Chancellor	Chancellor
Class IV	Registrar	Registrar	Vice Chancellor/ Pro Vice-Chancellor

- (i) All recruitment and selection for faculty as well as those posts governed by the UGC scales shall be made in accordance with the UGC regulations as prevalent on date.
- (ii) For staff, the University prescribes the qualifications and experience for each cadre or position and accordingly the recruitment and selection shall be made. In making selections and promotions, the appointing authority shall be assisted by a committee consisting of the

Registrar, Dean, Directors, HoD concerned. The appointing authority may nominate on the aforesaid committee additional member(s), if necessary.

- (iii) Where an appointing authority is unable to accept the recommendation of the committee, it shall record in writing the reasons for disagreeing with the recommendations of the committee and pass such orders as it may deem fit.

### **3. Temporary/ Contract Employees**

The appointing authority may employ persons on a temporary basis, subject to such general or special directions as may be issued by the University from time to time. No person under temporary service shall, only by reason of such appointment, be entrusted to absorption in the service of the University or claim preference for recruitment to any post.

### **4. Certificate of Health**

No person shall be appointed to the service of the University unless that person has been certified by a qualified medical practitioner to be of sound constitution and is medically fit to discharge duties.

### **5. Age**

The age of a person at the time of appointment to the service of the University shall not be less than 18 years. The upper age for recruitment as per UGC norms for faculty is 65 years and for staff, as per State Government norms, is 60 years.

### **6. Reappointment**

No person who has been dismissed from the service of the University, shall be re-employed. But the appointing authority may re-employ with the approval of the Chancellor, persons who have resigned from the service of the University.

### **7. Commencement of Service**

Service of an employee shall be deemed to commence from the working day on which an employee reports for duty at the place and time intimated by the appointing authority, provided that the employee reports before noon, otherwise the employee's service will commence from the following day.

### **8. Officiating Arrangement**

- (i) The appointing authority may at its discretion appoint an employee to officiate in a vacancy in a sanctioned post and/or in a higher cadre. No person appointed to officiate shall by virtue of such appointment be entitled to any claim for promotion or for any increment for the higher scale. An employee appointed to officiate for a higher post shall be liable to be reverted without notice during the officiating period.
- (ii) The officiating employee shall be paid an officiating allowance at the rate of 25 percent of the basic pay of the officiating position for the officiating period.

### **9. Probation**

- (i) A new employee is initially put on probation. Employees appointed to posts on the first appointment in the University service shall be required to be on probation for a period of six months from the date of appointment. However, the appointing authority may, at its discretion, dispense with, reduce or extend the probationary period, but in no case shall the

total period of probation exceed two years. During the period of probation, the employee shall be eligible for annual increments on par with other employees, subject to satisfactory service.

- (ii) During the probation period, the employee's knowledge and skills are adequately tested by the appointing authority. At the end of the prescribed probationary period, the University shall consider the suitability of the employee to hold the post to which the employee was appointed. If the competent authority decides that the employee on probation is suitable to hold the post, it shall issue an order confirming the services of the employee against the said post. If it is decided that the probationer is not suitable for the post, or that the probationer has not fulfilled the terms and conditions as mentioned in the initial appointment order, the competent authority may then either extend the period of probation or discharge the employee from the service of the University by issuing an order to that effect.
- (iii) The continuation of the probationer in the service of the University even after the expiry of the probationary period shall not be deemed to have been confirmed unless a specific order of confirmation is issued by the University.
- (iv) An employee promoted to a higher post shall be treated as on probation in the higher post for a period of six months. However, the appointing authority may in its discretion extend the period of probation, but in no case shall the total period of probation exceed two years. An employee on probation shall be liable to be reverted without notice at any time. During the period of probation, an employee retains the lien on the lower post, and the period shall count as permanent service for all purposes.

## Chapter 3

### Pay and Allowances

#### 1. Faculty

For the entire faculty, including those positions covered by the UGC norms, the scales of pay would be those prescribed and notified by the UGC from time to time. The dearness allowance and other allowances shall be at the discretion of the University.

#### 2. Staff

The staff shall be entitled to the scales of pay as equivalent to the scales of pay of the Karnataka State Government Employees, and at equivalent cadres. However, the dearness allowance and other allowances applicable to the staff shall be at the discretion of the University.

#### 3. Allowances

In addition to basic pay, all the employees shall be eligible for certain allowances, the details of which are mentioned below.

##### 3.1. Dearness Allowance

Dearness allowance is payable to eligible employees at such rates as may be notified by the University and based on the announcement made from time to time by the Government of India in this regard.

##### 3.2. House Rent Allowance

- (i) House Rent allowance (HRA) is payable to eligible employees at such rates as may be notified by the University. If both an employee and the spouse are employed in the same University, subject to rules in force, then both employees are eligible for HRA.
- (ii) Where an employee is provided with residential accommodation by the University, the employee shall not be eligible for HRA. If both an employee and spouse are employed in the same University and are provided with the residential accommodation by the University, then they are not eligible for HRA.

##### 3.3. Annual Increment

- (i) Increments to employees shall be sanctioned annually in the time-scales of pay drawn by them, subject to satisfactory service as per the performance appraisal report.
- (ii) An increment which accrues on a day other than the first day of a month shall be advanced to the first day of that month if given on or before the 15th of the month; else it will be effective from the next month.
- (iii) An employee who stagnates at the maximum of the time-scale of pay may be allowed five stagnation increments after two years of stagnation in the said scale of pay, subject to rendering a satisfactory record of service in the post held by employee in the University.

- (iv) No employee appointed on a temporary, contract, re-employment or daily wage basis shall be eligible for annual increments, unless otherwise decided by the competent authority.

#### 3.4. Payment of Salary

Salary to all employees shall be paid on or before the seventh day of the succeeding month through their bank accounts or through cheques or, alternatively, by such other mode as may be decided by the competent authority from time to time. A proper acquittance roll for having disbursed the salaries or wages to each employee shall be maintained by the University.

## Chapter 4

### Transfers, Deputation and Promotions

#### 1. Transfer Policy

- 1.1. Transfer and deputation is an instrument for developing employees by means of widening their exposure to various situations and environments. Transfers and deputations are essential for ensuring the proper and effective functioning of various units of the University.
- 1.2. The major objectives of the transfer or deputation policy are as follows:
  - (i) To meet the development needs of the University and to facilitate the achievement of its objectives
  - (ii) To facilitate career growth.
  - (iii) To meet the administrative exigencies.
  - (iv) To minimize the hardship to employees.
- 1.3. The University has the right to transfer or depute an employee to any position in any establishment or unit under its governance, and at any time.
- 1.4. In the event of the refusal to accept a transfer or deputation, the employee shall be considered absent from work and shall not be entitled for salary or wages during the said period. Such an employee shall also be liable for disciplinary action, including the termination of services.
- 1.5. Traveling expenses cannot be claimed by an employee on travel from one station to another if the employee is transferred at a personal request.

#### 1.1. Joining Time on Transfer

- 1.1.1. An employee shall be eligible for a joining time not exceeding five days, exclusive of the number of days spent on travel, to enable the employee to join the post or transfer.
- 1.1.2. No joining time shall be admissible to an employee when the transfer does not involve a posting to a different place or station.
- 1.1.3. No joining time will be admissible to an employee when the posting is of a temporary nature, irrespective of the fact that the posting is to a place or station other than the one at which the employee is permanently posted.
- 1.1.4. Where an employee applies for leave on transfer or deputation, ordinarily no leave shall be granted to the employee except on medical grounds.
- 1.1.5. No employee shall be relieved from duties on transfer or deputation without verifying the necessary files or work handled by the employee in the relieving post with reasonable additional joining time. A 'No Objection Certificate' from the concerned department or HoD shall be obtained by the employee at the time of relieving.
- 1.1.6. No grant of transfer benefits such as joining time, transportation allowance, and so on is permissible to an employee who is transferred or deputed on a personal request.
- 1.1.7. If there are any changes in the salary of the employee upon transfer, it will be

communicated to the employee by an office order.

## **2. Promotion Policy**

- (i) The promotion policy envisages that all promotions shall be linked to the vacancies in the next higher grade or scale. The vacancies shall be determined by the University at its sole discretion.
- (ii) The University reserves the right to promote an employee whenever a suitable post or vacancy arises, and it also reserves the right to recruit people externally to fill up promotional vacancies. In the case of faculty, promotions shall be taken up as per the UGC regulations.

### **2.1. Rules of Promotion**

- 2.1.1. The promotion policy identifies the following factors as relevant for ascertaining the suitability of employees for promotion to the next higher grade or scale:
  - (i) Performance in the existing grade (performance appraisal report).
  - (ii) Educational and professional qualifications.
  - (iii) Potential as identified through the performance, records or interview.
  - (iv) Recommendations of the concerned HoD in this regard.
  - (v) Seniority in the grade or scale.
- 2.1.2. A special promotion to a higher scale of pay for an employee may be granted if recommended by the concerned HoD to employees who are stagnated in the same post held by them for a total continuous service of not less than 15 years. Such promotion shall be subject to the following conditions:
  - (i) An employee must have a satisfactory record of service and shall possess a consistently good performance report in the same post.

The grant of a special promotion to a higher scale of pay is not to be treated as a regular promotion to the higher post and such employee shall continue to discharge the duties attached to the existing post.
  - (ii) The grant of a special promotion to a higher scale of pay is permissible only once during the entire service of an employee in the University. The pay of such employees shall be fixed at the next stage in the higher scale of pay.
  - (iii) The University may review this policy from time to time depending upon its needs and requirements.

## Chapter 5

### Leave and Holidays

#### 1. General Principles

The following general principles shall govern the grant of leave to the employees:

- (i) Leave is earned by duty or service.
- (ii) Leave cannot be claimed as a matter of right.
- (iii) The sanction of leave may not be presumed and leave asked for should not be availed of unless it has been specifically sanctioned.
- (iv) All leave lapses at the time of retirement, death, discharge, dismissal, resignation or termination, for any reason whatsoever.
- (v) An employee on leave shall not take up any service or accept any employment without the permission of the management of the University.
- (vi) An employee on leave cannot return to duty before the expiry of such leave except with the permission of the leave sanctioning authority.
- (vii) An employee on sick leave may not return to duty without producing a medical certificate.
- (viii) Absence from duty after the expiry of leave without further information will be treated as a breach of the regulations and amounts to indiscipline.
- (ix) Leave may be prefixed and/or suffixed to a holiday (but not with the Annual Vacation).
- (x) Leave may not be granted to an employee under suspension.
- (xi) Casual leave may normally be availed of only after sanction but casual leave of one day may be availed of without prior sanction in case of an unforeseen emergency.
- (xii) An employee shall, before proceeding on leave, intimate to the University the employee's address while on leave and shall keep the University informed of any change in the address.

**Entitlements concerning leaves of all categories detailed herewith are applicable to Full-Time confirmed employees only:**

#### 2. Casual Leave

- 2.1. A confirmed employee shall be entitled to casual leave for a period of 12 days in a calendar year. A probationary employee shall be entitled to only one day of casual leave per month. All new employees need to complete a minimum of 15 days of service to avail casual leave. If a probationary employee joins on or before the 15th of the month, then the employee can avail the casual leave for that month provided the employee has completed a minimum of 15 days of service in the University.
- 2.2. Not more than three consecutive days of casual leave may be taken continuously. Holidays and Sundays cannot be prefixed or suffixed in such a way as to increase the absence at any point of time beyond a period of seven days.
- 2.3. Casual leave may not be granted in combination with any other leave.
- 2.4. Casual leave shall be earned by a confirmed employee during the first calendar year of service on a pro rata basis.
- 2.5. Holidays and weekly-off falling within the period of casual leave will not be treated as

part of casual leave.

- 2.6. All unused casual leave will lapse on the 31st of December of each calendar year.

### **3. Leave on Medical Grounds**

- 3.1. An employee shall be entitled to leave on medical grounds to an extent of six days in a calendar year with full pay or to an extent of 12 days with half pay.
- 3.2. Sick leave shall be earned by an employee during the first calendar year of service on a pro rata basis.
- 3.3. A certificate by a registered medical practitioner is required in the case of more than three days of sick leave availed by the employee.
- 3.4. Sick leave may be combined with any other leave, except with casual leave.
- 3.5. Sick leave can be accumulated to a maximum of 60 days, after which it will lapse.
- 3.6. Sick Leave cannot be taken in advance except in the case of a planned surgery.
- 3.7. The approved sick leave form should be submitted by the employee to the Human Resource Department (HR Department) within a maximum of two days of the employee's reporting back to duty.

### **4. Earned Leave**

- (i) A confirmed employee shall be entitled to earned leave of 20 days in a calendar year or on a proportionate basis as per the appointment date. The leave account of every employee shall be credited with earned leave annually.
- (ii) An employee shall be entitled to earned leave only if the employee has completed a minimum of 11 months of service in the University, provided the employee is confirmed.
- (iii) An employee on earned leave shall be entitled to full emoluments for the period of leave.
- (iv) Approved holidays and Sundays may be prefixed or suffixed to earned leave. Public holidays, weekly-off or Sundays falling in between earned leave shall be accounted as part of earned leave.
- (v) Earned leave cannot be surrendered in lieu of the notice period at the time of resignation.
- (vi) Earned leave can be accumulated to a maximum of 45 days, after which it will lapse.
- (vii) The encashment of Earned leave shall be at the discretion of the University.

### **5. Maternity Leave**

University shall follow prescribed and notified policies set by the statutory bodies from time to time.

### **6. Sabbatical Leave**

This leave is as per the UGC norms; however, the University has the discretion to sanction sabbatical leave on the merits of each case.

### **7. Duty Leave**

- (i) For the purpose of attending Conferences, Seminars, Faculty Development Programs (FDP's), Management Development Programs (MDP's), Workshops or Research work and other such purposes, the employees can avail a maximum of 18 days of duty leave in a year.

These 18 days shall be availed as follows:

- |    |   |          |
|----|---|----------|
| a) | Attending Seminars or Conferences             | Six days |
| b) | FDPs, MDPs and Workshops (including training) | Six days |
| c) | Research or research related work             | Six days |

- (ii) The number of days allotted for each activity mentioned above (a, b and c) shall be utilized only for that purpose. No interchange of allocation is allowed. This facility shall be available only for confirmed employees of the University.

### 8. Compensatory Off

As an academic institution, Alliance University caters to requirements of stakeholders from a diverse stratum of the society. These requirements could be curricular in nature or an extension of academic / non-academic activities that stretch beyond the normal working days. Basis the above-mentioned preamble, we wish to update and communicate the compensatory off and compensation policy effective immediately.

- (i) In case of academic programs, faculty may be eligible for compensatory leave for teaching on non-instructional days at the University.
- (ii) The compensatory leave is calculated for each hour of teaching. In other words, if a faculty teaches four hours in the course, then the compensatory leave works out to be: 4 hours = half a day's leave.
- (iii) Compensatory-offs may be claimed within two months.
- (iv) Faculty may opt for an honorarium for teaching on non-working days instead of compensatory leave. This is subject to a faculty exceeding the minimum stipulated teaching credits during an academic year as articulated in the 'ACADEMIC PERFORMANCE INDICATORS' document (AU/HRD/PA-F/2021). In such cases, the hourly honorarium would be Rs. 1,800 (Rupees one thousand eight hundred only) per session for excess teaching credits only.
- (v) For any other scheduled duty on a non-working day, such as participation in recruitment activities, admissions, placements, co-curricular or extra-curricular activities, including mentoring, a faculty and/or staff member may deem to avail the compensatory off (as detailed in point no. 1 – 3 above) provided they work for a minimum of four hours in a day.

Such institutional tasks as assigned by Heads of Schools / Departments are aligned to the larger role as part of the societal ecosystem. It is thus expected that all faculty and staff members would comply to the institutional tasks as assigned by their respective HODs. Failing to be available for such institutional tasks would be considered as a breach of responsibility and would be recorded in employee files.

### 9. Leave on Loss of Pay and Allowances

- (i) Leave on loss of pay and allowances may be granted to an employee if the employee does not have any other kind of leave at and credit on case-to-case basis.
- (ii) In case an employee fails to resume duty on the expiry of this leave without further information then the employee shall be liable to be dismissed or removed from the service of the University after following the necessary procedures.
- (iii) Leave on loss of pay and allowances shall not be counted as service for the purpose of confirming an employee who is on probation. An employee who avails leave on loss of

pay shall be liable for the extension of the probationary period equivalent to the period of leave on loss of pay and allowances availed by the employee. Leave on loss of pay and allowances shall also not be accounted as service for the purpose of earning the annual increment of an employee. The competent authority may, however, order otherwise depending upon the merit of each case.

- (iv) Leave on loss of pay shall be treated as break in service and such period of absence shall not be counted as service for the purpose of terminal benefits including gratuity, unless otherwise ordered by the competent authority.
- (vi) Loss of pay in the entire service shall not exceed 365 days.

#### **10. Annual Vacation**

- (i) The University will remain closed for annual vacation as announced in the calendar year.
- (ii) No leaves including casual leave (CL), sick leave (SL), earned leave (EL), maternity leave (ML) and compensatory off (comp-off) may be used to prefix and/or suffix to these leaves except under extraordinary circumstances, approved by the competent authority.

## Chapter 6

### Employee Welfare and Benefits

The University provides the following welfare measures for the employees.

#### 1. Health Insurance Scheme

All confirmed employees shall be covered under the Floater Policy Health Insurance Scheme. The Health Insurance Scheme shall cover medical care expenses for the employee and the employee's family and up to a maximum stipulated amount, which is announced annually. "Family" is defined as the employee, spouse, two dependent children and both the employees' parents, up to the age of 80 years.

#### 2. Sodexo Coupons

The employees can avail of the Sodexo meal coupons up to a maximum of Rs. 2,500/- per month.

#### 3. Food Court Facility

The University provides subsidized breakfast, lunch and dinner meals to its employees.

#### 4. Housing Facility

The University may provide a housing facility to its members, subject to availability, the details of which are available with the HR Department.

#### 5. Allotment of Vehicles or Conveyance Allowance

- (i) Vehicles shall be allotted on a case-to-case basis at the discretion of the University to the individual employee for official use.
- (ii) Vehicles shall be allotted to departments or administrative units, wherever necessary to facilitate their effective and efficient functioning.
- (iii) The allotted vehicle shall be under the control of the transportation department of the University.
- (iv) In case it is not possible to provide vehicles to an employee, the employee may be paid a conveyance allowance after prior approval of the concerned department head, on a case-to-case basis, at the rates prescribed. The details are available with the HR Department.
- (v) In case of any urgent requirement to travel or commute for a work-related purpose and if the vehicle of the University is not available, then the concerned employee or person is encouraged to travel by a personal vehicle (if available) or by public transportation. In case the employee uses a self-owned vehicle for an official purpose, the reimbursement can be made by raising a reimbursement form with due approval. The reimbursement shall be done at the rates prescribed, details of which are available with the HR Department.
- (vi) In case the employee does not possess a personal private vehicle then the employee is encouraged to take an auto rickshaw or bus if the distance travelled is less than 20 km. If the distance travelled is more than 20 km then the employee can hire a taxi cab. The bills shall be submitted to the HR Department while claiming for reimbursement.
- (vii) Prior permission from the University is required if an employee wishes to use a personal

conveyance for official purposes.

**6. Transportation Services**

The University provides the employees with a free bus facility for commuting to Central Campus and back at specified times, details of which are available with the HR department.

**7. Reimbursement of Travel Expenses**

The University may reimburse the travel expenses incurred by the employees as detailed under *Chapter 14–Travel Policy*.

**8. Salary advance**

Salary advance may be considered for the employees, on a case-to-case basis to a maximum of one month salary of the employee.

## Chapter 7

### Academic Enrichment

Recognizing the fact that the employee development is essential to University's growth, Alliance University has provided a number of initiatives for faculty and staff members to improve their knowledge base, acquire proficiency in new areas, interact with peer groups and learn from experts. These initiatives include:

1. *Sabbatical leave*: faculty and staff members taking up project consultancy, field research, or any other activity consistent with the mission and vision of the University are eligible for sabbatical leave under recommendation of the HoD and approved by the competent authority as applicable. The terms of such a leave would be considered and approved on a case-to-case basis.
2. *Professional development budget*: each faculty or staff member has been provided with a budget. The budget can be used to attend conferences, seminars, development programs, meeting of professional associations and any similar activity under recommendation of the HoD and approved by the respective competent authority as applicable. The terms of such a leave would be considered and approved on a case-to-case basis (refer to Schedule VI).
3. *Revenue sharing*: faculty members engaged in consultancy activities related to the University's mission and vision are permitted to retain a major portion of the revenue from such activity, while also being eligible for full pay during the period they are being engaged in the consulting activity.
4. *Awards for publications*: faculty members who publish papers in referred journals or who publish books are recognized through awards which are announced and made known to all faculty members.
5. *Academic interface programs*: the University shall have a budget for organizing workshops and events such as conferences, consortia, summits, seminars, and so on, which shall contribute to the professional development of all employees.
6. Employees who are awarded a doctoral or post-doctoral degree are entitled to a suitable increment.

## Chapter 8

### Hours of Work and Work Environment

The University stands for quality, equal opportunities and high standards of education. It aims at the overall development of every employee of the University.

The University:

- Respects contributions made by every employee
- Provides adequate facilities and support to employees to help them perform their best
- Provides equal and diverse opportunities to help employees move up the career ladder

The workplace culture at the University fosters:

- Respect for all employees
- Equality at work
- Integrity in all the policies and practices
- Opportunities to grow and develop careers
- Recognition for talent
- An open-door policy to encourage the employees to speak their minds, even to senior University administrators and the top management.

#### 1. Hours of Work

- (i) The University shall fix at its discretion the actual timings for work, keeping in view the maximum number of hours of work as per the statutory provisions.
- (ii) The faculty at the University have a shift of 8 hours from 8:30 a.m. to 4:30 p.m.
- (iii) The workload of the faculty shall be as per the guidelines issued by the University.
- (iv) The University is open during weekdays, that is, from Monday through Saturday, with a holiday on the first Saturday, the third Saturday and every Sunday of the month. All holidays duly notified by the Government of Karnataka are also followed by the University.
- (v) In the case of work related to the laboratory, library, housekeeping or maintenance, the staff shall have to take up night duties as directed by the competent authority, including emergency calls.

#### 2. Attendance

Regular and prompt attendance is an essential function of every employee at the University. The efficiency of the entire work group is impaired if every individual is not present when expected.

- (i) All employees shall be on duty at the commencement of the working hours at least till close of working hours, except during the lunch recess of 30 minutes that can be availed at their convenience. There is a 15 minutes grace time for the inward swipe for the Central Campus only. Beyond that, it will be considered as a 'late swipe'. It is undesirable to close work before the stipulated office hour for any other reason except emergency.
- (ii) However, an employee may be permitted by the Head of Department to avail late reporting or early leaving to a maximum of two instances in a month not exceeding two hours on each instance. Should the time limit permitted (that is two hours) be exceeded, it would be considered as a half a day leave or loss of pay, as applicable.

- (iii) Employees have the privilege of availing leaves under different categories; however, leave is not a matter of right and must be taken with the prior approval of the reporting officer or else it is considered as loss of pay, inspite of having a leave balance in the account. In all such cases, a half- day of pay will be deducted for that month for that employee.
- (iv) In case leaves are exhausted then the same is treated as "leave on loss of pay."
- (v) If a duly filed leave form is not submitted, this will again be treated as "leave on loss of pay" even if leaves are available in the account of the employee.
- (vi) Employees may be deputed to work in split hours, staggered hours or shift duties with rest intervals and a weekly off.
- (vii) If the exigencies of work so demand, all employees shall be required to attend to any emergency duty outside their regular hours of work as well as on Sundays and public holidays. Employees are not entitled to any extra remuneration for such work, but are entitled for comp-off.
- (viii) An employee on shift duty continues to be on duty until relieved by the employee of the next shift. The University has the right to depute an employee from one shift to another or from one department to another as a routine or due to exigencies of work.
- (ix) Employees owing to their work schedule may be required to travel between different campuses of the University on such occasions, all employees must necessarily swipe out of one facility or campus while exiting and swipe in upon entry at the next facility. A reasonable time duration of travel between campuses is permitted.
- (x) The facilities movement register shall be maintained by the University at different facilities and employees leaving the premises during working hours shall make a record of their movements as well as indicate the purpose and place of visit after obtaining permission from their reporting officers.

## Chapter 9

### Performance Appraisal and Training

#### 1. Performance Appraisal

The University puts in place the performance appraisal system with the following objectives:

- To facilitate employees to perform at their optimum levels, ensuring their maximum contributions to the betterment of the University
- To develop employees into intellectual professionals
- To administer promotions, increments and such other rewards

##### 1.1. Frequency of Appraisal

Performance appraisal is an annual activity. The University may also undertake performance appraisal of an employee who is in temporary service or who is on probation and awaiting a confirmation decision. The competent authority may also call for a special appraisal of an employee whenever necessary.

##### 1.2. Appraisal Period

For all employees, the appraisal period shall be from the 1st July of the previous year to 30th June of the current year.

##### 1.3. Performance Appraisal Procedure

The performance appraisal of all employees is carried out by using a well-designed, performance appraisal form, separately for faculty and staff and is a fair, transparent system free of any discrimination based on race, color, religion, gender, sexual orientation, marital status, creed, age, social origin, national origin, citizenship status, disability or veteran's status.

#### 2. Training and Development

The University believes that of all the resources, human resource is the greatest resource, which shall be given proper training for the all-round development of the University through individual development. To increase the efficiency of an employee, the University may organize orientation and training sessions. The employee may also be deputed for external training sessions, if it is found to be necessary.

## Chapter 10

### Employee Grievance Redressal

#### 1. Grievance Redressal

- (i) The University has an employee grievance redressal procedure that conforms to the principles of natural justice by handling employee grievance judiciously and disposing of them expeditiously. The grievance procedure is intended to promote harmonious relations between the employer and employees as well as among the employees.
- (ii) Complaints affecting one or more individual employees in respect of their salary payments, overtime, leave, transfer, promotion, seniority, work assignment, unfair treatment, application of terms and conditions of service, and discharges would constitute grievances except in the following situations:
  - a. Disciplinary actions are excluded from the purview of grievances.
  - b. Management actions within the purview of the Employees Service Rules or terms and conditions of work and other policy matters cannot be questioned under the grievance procedure.
- (iii) Recourse to any other measure, except the procedure prescribed, is tantamount to misconduct, and the employee shall be liable for disciplinary action.
- (iv) Where the points of dispute are of a general applicability or of considerable magnitude, they shall fall outside the scope of this procedure.
- (v) As far as possible, grievances shall be settled at the departmental level. It is the duty of the Human Resource department to look in to all the grievances and complaints of the team members.
- (vi) No matter should ordinarily be taken up at more than two levels, that is, normally there should be only one appeal.
- (vii) Different types of grievances may be referred to appropriate authorities.

#### 2. Designation of Authorities

- (i) Grievances arising out of conditions of employment shall be taken up in the first instance with the HoD or Area Chair, and if the complainant is not satisfied then the reference may be made to the Grievance Committee.
- (ii) Grievances arising from issues or problems related to interpersonal relations shall be taken up in the first instance with the authority in the line management, immediately above the officer against whom the complaint is made. Thereafter, if the complainant is not satisfied then the matter may go to the Grievance Committee.

#### 3. Constitution of the Grievance Committee

The size of the Grievance Committee should be limited to three members. The decision of the Committee shall be binding on all concerned. The Grievance Committee shall comprise the following members.

- a. For faculty grievance redressal:
  - Vice- Chancellor or Pro Vice-Chancellor (Chairman)
  - Senior Professor nominated by the Chancellor (Member)
  - Deputy Director-HR (Member Secretary)

b. For staff grievance redressal:

- Registrar (Chairman)
- Senior Administrator nominated by the Chancellor (Member)
- Deputy Director-HR (Member Secretary)

#### **4. Grievance Redressal Procedure**

While adaptations have to be made to meet special circumstances, the procedure normally envisaged in the handling of grievances shall be as follows:

- (i) An aggrieved employee shall first present the grievance in writing and in person to the HoD, Area Chair or Officer designated by the University for the purpose.
- (ii) If the employee is not satisfied with the decision of the HoD, Area Chair or Officer, or alternatively fails to receive an answer, then the employee shall, in person present the grievance to the appropriate grievance committee. The decision of the committee shall be final and binding on all concerned.

## Chapter 11

### Conduct, Discipline and Appeals

Every employee of the University shall be governed by the general code of conduct, as specified by the University and every employee shall be liable for disciplinary action as specified in this chapter for the breach of any provision of the Code of Conduct.

#### 1. General Instructions

- (i) Every employee shall, at all times take all possible steps to ensure and protect the interest of the University.
- (ii) Every employee shall maintain good conduct, discipline and show courtesy and attention to all persons in all transactions and negotiations. All employees shall carry out lawful and reasonable orders of superiors.
  - a. Every employee shall take all possible steps to ensure integrity and devotion to duty of all persons under the employees' control and authority.
  - b. Every employee shall attend the office punctually, appropriately dressed and shall discharge all duties faithfully, obediently and diligently.
  - c. Every employee shall be deemed to have had the knowledge of all the rules, regulations, directions and instructions issued by the University from time to time for transacting the assigned work of the University.

#### 2. Scope of an Employee's Service

- (i) The whole time of an employee shall be at the disposal of the University and the employee shall serve the University within such capacity and at such place as the employee may from time to time be directed to do so.
- (ii) Every employee of the University shall at all times maintain absolute integrity and devotion to duty, shall conform to and abide by these regulations and shall observe, comply with and obey all orders and directions which may, from time to time, be given to the employee for the course of official duties by any person or persons under whose jurisdiction, superintendence or control the employee may, for the time being, be placed. All the employees at the time of joining the University shall sign the Non-Disclosure and Confidentiality Agreement (NDCA) in the prescribed format.
- (iii) Every employee shall serve the University honestly and faithfully and endeavor to promote the interest of the University.
- (iv) No employee of the University shall engage in or participate in any demonstration which involves incitement to an offence nor shall form, resort to or abet any factor of strike.
- (v) No employee shall, except with the approval of the University, engage directly or indirectly in trade or business.
- (vi) No employee shall accept, solicit or seek any outside employment or office, whether stipendiary or honorary, without the sanction of the University.
- (vii) An employee shall not absent from duties without having obtained the permission of the HoD. In case of an unforeseen emergency, an employee may be allowed to avail of one day's casual leave without prior sanction.

- (viii) An employee who is absent from duty without approved leave or extends the leave, shall not be entitled to draw any pay and allowances during such absence or extension of leave, and shall further be liable to such disciplinary measures as the appointing authority may deem necessary.

### **3. Suspension**

- 3.1. The appointing authority may place an employee under suspension in the following cases.
- (i) Where a disciplinary proceeding against the employee is contemplated or is pending.
  - (ii) Where a case against the employee in respect of any criminal offence is under investigation or trial.
  - (iii) Any employee who is detained in police custody, whether on a criminal charge or otherwise, for a period exceeding 48 hours shall be deemed to have been suspended with effect from the date of detention by the appointing authority and shall remain under suspension until further orders.
- 3.2. An order of suspension made or deemed to have been made, may at any time be revoked by the authority.
- 3.3. An employee under suspension shall be entitled to subsistence allowance as per the rules prescribed by the Government of Karnataka.
- 3.4. When the suspension of an employee is held to be unjustified or not wholly justified, the employee may be granted the full pay and allowances which, the employee would have been entitled to if the employee had not been suspended, less the subsistence allowance; if otherwise, such proportions of pay and allowances may be granted as the disciplinary or appellate authority may prescribe.

### **4. Resignation from Service**

An employee shall not leave or discontinue service from the University without first giving notice in writing to the University of an Intention to resign from the service. The period of notice required shall be one month. Such notice may be waived in part or full by the competent authority at discretion. In case of a shortfall in the required notice period by an employee, the employee shall be liable to pay the University as compensation of a sum equal to salary for the period of the shortfall in the notice period required of the employee. A notice given by an employee as mentioned above shall be deemed to be proper only if the employee remains on duty during the period of the notice, and an employee shall not be entitled to set off any leave earned against the period of such notice, except sick leave, and as approved by the competent authority.

### **5. Termination of Service**

The appointing authority shall have powers to terminate the services of an employee who is whether in temporary, probationary or confirmed by giving one month notice or by paying an amount equivalent to one month salary last paid.

Services of the contract employee may be terminated in accordance with the terms and conditions of such appointment.

## 6. A. Nature and Kind of Disciplinary Action

The following penalties and actions may be imposed on an employee by the competent authority for proved inefficiency, or gross misconduct and are listed below:

- a) Warning in writing.
- b) Fine.
- c) Censure.
- d) Suspension.
- e) Withholding of increments without cumulative effect.
- f) Withholding of increments with cumulative effect.
- g) Withholding of promotion.
- h) Demotion (reduction to a lower rank).
- i) Termination of service.
- j) Dismissal from service.

*Note:* A to D for minor misconducts and E to J for major misconducts.

## 6. B. Procedure for Conducting Enquiry

### Principles

When a Domestic or Departmental Enquiry is conducted under these rules, the principles of natural justice should be followed scrupulously by the competent authority and punishments should be awarded only for the proved misconducts. The following are the three vital principles of natural justice.

1. Hear both the sides, before coming to a conclusion.
2. The enquiry committee shall not have the complainant or complainants as one of the members.
3. Sufficient opportunities should be given to the defendant to defend the case.

### Enquiry Procedure

- (i) If a Head of the Department, Controlling Officer or a person of supervisory nature of work comes to understand that either a breach of conduct is committed by an employee or an employee has conspired to commit a misconduct, the employee has to submit a complaint to the superior officer in writing alleging the:
  - (a) nature of misconduct
  - (b) how it contravenes to the standing orders of Alliance University
  - (c) time and date
  - (d) place or location
  - (e) witnesses present
  - (f) details of articles of evidentiary value and co-accused person.
- (ii) On receiving the report, a detailed explanation in writing should be called for from the accused employee by the Controlling Officer, Head of the Department or Head of the University by giving sufficient time to the employee to explain the position. A copy of the complaint letter may be enclosed or if that complaint letter includes some other details, which are not necessarily to be known to the accused employee, the portion of the letter where the employee is stated to have committed the misconduct can only be enclosed.
- (iii) On receiving the explanation letter, if the explanation is convincing and if the competent authority is satisfied that the matter may be closed or further action need not be taken, then

the employee may close the matter.

- (iv) If the explanation is incomplete and does not address all the charges in the memo, another explanation letter may be called for from the employee.
- (v) Even if employee pleads guilty, an enquiry should be conducted as to ascertain whether the employee's admittance of guilt was out of free will and self-volition or not. After completion of enquiry, the appropriate action can be taken depending upon the nature of the misconduct.
- (vi) If the employee denies the charges, an Enquiry Committee shall be constituted by the competent authority to enquire and to find out whether the charge leveled against the employee is proved with the material on record and a witness statement is produced.
- (vii) The competent authority shall also nominate any officer who is well versed with the facts of the case as the presenting officer, who shall represent before the Enquiry Committee or Enquiry Officer and who will produce all the material on record and witnesses on behalf of the management so as to make an effective representation against the accused employee.
- (viii) An Enquiry Officer or a member of the Enquiry Committee shall be an independent officer or faculty who is not directly connected with either the department in which the accused employee is or had been working or if it is objected by the accused employee with valid reasons in writing. The enquiry shall be conducted in the language known to the accused and as soon as the enquiry is completed, a copy of the enquiry proceedings shall be handed over to the employee after obtaining the signature.
- (ix) After the receipt of the findings of the Enquiry Committee if none of the charges are proved, the competent authority shall cease to initiate further action against the employee and issue orders accordingly.
- (x) If a few charges or all the charges are proved in the enquiry the same may be forwarded to the Disciplinary Committee for appropriate disciplinary action.
- (xi) However, before taking a decision on suggesting action (s) for an employee, the following factors shall be taken into consideration:
  - (a) Nature of misconduct.
  - (b) Past conduct of the employee as seen in the dossier or personal file.
  - (c) Past appreciable contributions to the Alliance University, if any.
  - (d) Family circumstances.

Provided further, that the Disciplinary Committee shall always consider the interest of the University as a predominant factor in deciding the quantum of punishment.

### **Appeal**

On receipt of the report from the Disciplinary Committee, which recommends the proper quantum of punishment, the competent authority shall issue the appropriate orders to the employee. The employee may choose to appeal to the Honorable Chancellor. The Honorable Chancellor after due consideration if there is sufficient ground, may reduce the punishment and issue an order accordingly or confirm the order. If the Honorable Chancellor thinks that there is no extenuating situation where any leniency can be taken, the employee shall confirm the punishments that are proposed in the Show Cause notice.

## **6. C. Settlement of Accounts**

1. If the final orders are issued by the competent authority dismissing an employee for a proved gross misconduct, all service amount due to the employee should be settled and a cheque or demand draft drawn in the employee's name should be enclosed with the

dismissal order.

2. A dismissed employee is entitled to the following:
  - (a) Wage or salary for the days worked before dismissal or suspension, if any.
  - (b) Arrears of subsistence allowance.
  - (c) Encashment of leave wherever applicable in the full and final settlement.
3. No gratuity is payable to a dismissed employee.

#### **7. A. Acts of Major Misconduct**

The following acts and omissions shall be treated as major misconduct.

- (i) Willful insubordination or disobedience, whether alone or in combination with another or others, of any lawful and reasonable order of a superior.
- (ii) Strike of work or inciting others to strike work in contravention of the provisions of the Industrial Disputes Act 1947 (Central Act XIV of 1947), or any other enactment or rule for the time being in force.
- (iii) Theft, fraud or dishonesty in connection with Alliance University services or property or doing or engaging in any act which may induce the theft of property or abetting to commit theft of the property of Alliance University.
- (iv) Taking bribes or any illegal gratification, whatsoever.
- (v) Habitual breach of any standing order.
- (vi) Collection of any money within premises of Alliance University for purposes not sanctioned by the competent authority.
- (vii) Engaging in trade within the premises of Alliance University and inducing the support of others to do the same.
- (viii) Intoxication and/or disorderly behavior within the premises of Alliance University or any act subversive of discipline, which are not in the interest of Alliance University.
- (ix) Habitual breach of any rule or instruction of the maintenance and running of any department or the maintenance of the cleanliness of any portion of the premises of Alliance University.
- (x) Undertaking employment under any other employer or company in any capacity without the written permission of the competent authority.
- (xi) Sleeping while on duty.
- (xii) Smoking in the premises of Alliance University.
- (xiii) Distribution or exaltation within the premises of the Alliance University of any bills, pamphlets or posters without prior sanction of the competent authority.
- (xiv) Willful damage or damages due to negligence or carelessness of work in process or to any other property of Alliance University.
- (xv) Failure to observe a duly notified safety instruction or interference with any safety device or equipment installed within Alliance University.
- (xvi) Willful slowing down in performance of work, abetment or instigation thereof.
- (xvii) Threatening, abusing, intimidating or assaulting any employee outside the premises of Alliance University, if such, abuse, intimidation or assault is in connection with the employment in Alliance University.
- (xviii) Disclosing to any person any information, which may be detrimental to the growth of

Alliance University without the prior permission of Alliance University.

- (xix) Squatting or remaining anywhere within the premises of the Alliance University other than the appointed place with a view to intimidate, coerce or threaten the Officer or Executives of Alliance University.
- (xx) Interfering with machines or processes not connected with the work allocated.
- (xxi) Conviction by any Court of Law for any criminal offence involving moral turpitude.
- (xxii) Deliberately making false, vicious or malicious statements, public or otherwise, against the Alliance University or any officer or employee of the establishment.
- (xxiii) Loitering, idling or wasting time during working hours or being within the establishment outside of the authorized hours of work and without previous written permission of the Head of the Department.
- (xxiv) Causing damages or doing any act which may cause or is likely to cause damage to the instruments, installations, computer materials or any such materials, which are used for the academic services of Alliance University.
- (xxv) Willfully causing damage to the properties or deliberately misusing the intellectual property of Alliance University.
- (xxvi) Wantonly or willfully doing a certain act which has reason to cause damage to the reputation of Alliance University directly or indirectly.
- (xxvii) Any other acts, deeds or omissions, which may cause are likely to cause irreparable loss of money or prestige to Alliance University.
- (xxviii) Willfully using someone else's work, ideas, or intellectual property without proper attribution or permission, or committing any other form of plagiarism (Verbatim Copying, Paraphrasing Without Attribution, Self-Plagiarism, Collusion, Failure to Cite Sources and/or Unauthorized Use of Copyrighted Material), which is likely to cause irreparable loss of money or prestige to Alliance University.
- (xxix) Willful unwanted conduct by an employee with sexual undertones if it occurs or which is persistent and which demeans, humiliates or creates a hostile and intimidating environment or is calculated to induce submission by actual or threatened adverse consequences (whether directly or by implication) from other employees or students at Alliance University.

#### **7. B. Acts of Minor Misconduct**

The following acts or omissions shall be treated as constituting minor misconduct.

- a) Habitual late attendance.
- b) Habitual absence in duty without leave and without reasonable cause for any 24 hours in a particular span of time.
- c) Negligence or carelessness in work, neglect of work or idling while on duty, involving a loss to the University.
- d) Refusal to accept any communication when served.
- e) Committing any nuisance within the campus of Alliance University.
- f) Non adherence of the Dress Code, or wearing inappropriate and/or indecent clothes within the premises of the University.

## 8. Discipline

- (i) *Physical and verbal altercation*: Employees are expected to behave in a civil and courteous manner toward co-workers, students, visitors and other business associates at all times. Any involvement in incidents of physical violence, shouting at others or making derogatory or provocative comments is considered dangerous and unacceptable behavior that violates this standard of appropriate behavior.
- (ii) *Observance of secrecy*: Every employee shall be bound to maintain strict secrecy with regard to all office work and shall not disclose the same unless with prior permission of the University or with compulsions of any court of law.
- (iii) *Acceptance of outside jobs*: No employee shall seek, solicit or accept outside employment or office including service in the armed forces, whether honorary or otherwise and whether full time or part time, without the permission of the University. No employee shall directly or indirectly engage in any trade, business or activity that will confer financial benefit on outside the scope of employment without the written permission of the competent authority.
- (iv) *Sexual Harassment*: The University is committed to creating a workplace and learning environment that is free from sexual harassment. Sexual harassment violates an individual's fundamental rights and personal dignity. The University considers sexual harassment in all its forms to be a serious offense. This policy applies to all employees.
- (v) *Gender Discrimination*: The University emphasizes the importance of equitable treatment within the workplace and learning environment, irrespective of a given individual's (or employee's) gender.
- (vi) *Consumption of intoxicating drinks, drugs and smoking*: An employee shall not be under the influence of any intoxicating drink or drug during the course of duty and shall also take due care that the performance of duties at any time is not affected in any way by the influence of such drink or drug. The premises of the University are declared as non-smoking zones.

## Chapter 12

### Superannuation and Retirement Benefits

#### 1. Age of Superannuation

The faculty shall retire on completion of 65 years of age. But the Chancellor may, if of the opinion that it is in the interest of the University to do so, direct such an employee to retire on the completion of 60 years of age or at any time thereafter, on giving the employee a one month's notice or salary in lieu thereof. An employee of non-teaching staff shall retire on the completion of 60 years of age, but the Chancellor may, if of the opinion that it is in the interest of the University to do so, direct such an employee to retire on the completion of 55 years of age or at any time thereafter on giving the employee a month's notice or salary in lieu thereof.

Where an employee is directed by the Chancellor to retire as aforesaid, it shall not be deemed to be a penalty. The appointing authority may direct an employee to avail of the full privilege leave before the date of retirement.

An employee may be permitted to retire at any time after the completion of the age of 55 years, provided the employee gives a one month's notice to the appointing authority of an intention to retire. However, the notice period required may be waived in part or in full by the appointing authority, at its discretion.

The appointing authority shall retire an employee without notice or pay in lieu thereof on the employee being certified by a medical examiner to be nominated by the University as being incapacitated for further continuous service either due to continued illness or accident.

Where an employee has a credit or earned leave, but this is not availed of as on the date of retirement, the employee may be paid as per the encashment policy.

#### 2. Retirement Benefits

The University provides the following retirement benefits to its employees.

##### 2.1. Provident Fund

In congruence with the Employees Provident Funds and Miscellaneous Provisions Act, 1952 the employer has to contribute 12 percent of the basic wages, dearness allowance and retaining allowance (if any), and an equivalent amount on behalf of the employee, which is to be recovered from the employee's salary. The upper limit or ceiling of the salary to be used for the calculation of contribution to the Employee Provident Fund is Rs.15,000/- per month. As a policy, the employee can increase or enhance employee contribution towards the Employee Provident Fund wherein it shall be calculated on the basic wages and dearness allowance.

##### 2.2. Gratuity

The University follows the Payment of Gratuity Act, 1972 for payment of gratuity to its employees. During the sanctioned period of unpaid leave, employees will not be eligible for any terminal benefits including Gratuity, if applicable.

## Chapter13

### Employee Referral Policy

#### Introduction

Research has shown that employee-referred new hires connect better with an organization's mission and culture. They also tend to be better performers and stay with their organizations longer.

Alliance University intends to tap into a large, qualified pool of active and passive job seekers through its employee referral program. Employees frequently network with professional peers and former co-workers, giving them access to highly qualified candidates who may or may not be actively seeking a new job but would consider one if the opportunity arose.

#### Objectives

To reward the employee who has referred a candidate for a particular position in the University.

#### Eligibility

All current Alliance University employees having permanent full-time positions can and are encouraged to help refer qualified candidates for the University from their social networks as potential sources. Full-time employees are eligible to receive a referral bonus with the exception of:

1. Employees whose regular job includes the recruitment of employees or who are members of the HR Department.
2. The hiring / selecting manager or other persons associated with the selection of the candidate.

#### Referral Bonus and Referral Retention Bonus

**Referral Bonus:** A referral bonus will be paid to any employee who refers an applicant who is selected and successfully employed in a position. Once a referred candidate is hired and completes 180 days (6 months) of continuous service with Alliance University, the employee that made the referral will receive the Referral Bonus during the next scheduled salary payment cycle.

**Referral Retention Bonus:** Employees referred and retained at Alliance University will qualify the referring employee to receive a Referral Retention Bonus payment. In addition to the initial referral bonus, Alliance University will offer the referring employee an additional bonus which is equivalent to the initial Referral Bonus amount if the referred employee is retained as a confirmed employee. The referring employee will be eligible for the Referral Retention Bonus when the referred employee completes two (2) years of consecutive employment.

Payment of employee referral bonus is subject to the various payment slabs mentioned in the Employee Referral Table. (Refer Annexure 1: Referral Bonus Table)

#### Taxes

The Referral Bonus and the Referral Retention Bonus are both subject to applicable taxes.

**Procedure**

1. The job openings applicable for the Employee Referral process will be available on the Careers website (<https://www.alliance.edu.in/careers>), with the job description clearly stated.
2. The eligible employee who wishes to refer any candidate for the given positions must fill the Employee Referral Form (Refer Annexure 2: Employee Referral Form) and submit it along with the resume of the candidate to the Human Resource Department within the stipulated time period.
3. The role of the employee who is referring the candidate is limited to deposition of resume. Interview and other formalities will happen as per the normal process of recruitment only.
4. Selection of referred candidate depends on merit. Making a referral does not mean final selection.
5. If the candidate is selected, the Human Resources department will notify the referring employee of his/her eligibility and time frame of when he/she will be eligible for the Referral Bonus and the Referral Retention Bonus via email.
6. The HR Department will further submit the details to Finance Department / Payroll to process the Referral amount.
7. The payment will reflect in the referring employee's salary slip.

**Guidelines**

1. The referral date cannot be earlier than the date the job opening was posted.
2. Both the existing employee and the candidate who was referred by the employee should be on the payroll of Alliance University and must be active employees of the University to take the benefit of employee referral bonus programme.
3. In case of duplication of referral of candidates, the employee who had first referred the candidate will be the only referring employee eligible for payment and the final decision rests with the Human Resources Department.
4. Employee would not be eligible for any referral amount in case the candidate resume already exists in the University's databank.
5. In case the candidate has applied before the employee has referred him/her, then no employee referral will be paid.
6. Payment of Referral Bonus is subject to the successful background verification report and reference check of the employee.
7. If the employee resigns within the time duration of employee referral period, no employee referral will be paid to employee.
8. Only the candidate who meets the qualification required for a given position will be selected. The referral programme nowhere justifies any biased recruitment process.
9. Referral should be made from the employee's contacts only. No referral should be made with the help of any recruitment agency.
10. There is no limit for the number of referrals made by the employee.

11. Alliance University does not hire spouses or close relatives for any position that would involve a superior-subordinate relationship or otherwise create the appearance of a conflict of interest.
12. No referral bonuses are paid for referrals of candidates who are retirees, rehires or persons returning from a leave of absence.
13. Alliance University reserves the right to deny referral bonus payments to any employee who improperly makes promises or assurances of employment to prospective or actual candidates or otherwise engages in improper or inappropriate conduct related to this program.

### **Equal Opportunity**

Alliance University is an equal opportunity employer and does not discriminate against any individual. All referred candidates will receive equal consideration without regard to race, creed, color, nationality, sex, age, disability, marital status, sexual orientation and religion.

### **Life span of referral**

If a referred candidate is not hired within 1 year of the date of referral, the referral is considered closed. The referring employee will no longer be eligible to receive the referral bonus if the candidate is hired in the future.

### **Approval Required**

Any referral bonus payment needs approval from the following:

- a) Pro-Chancellor
- b) Human Resources Department

## Chapter14

### Travel Policy

#### Introduction

Alliance University seeks to ensure employees are provided compensation for expenses incurred by them during On Duty travel and Outreach Activities.

#### Objectives

To provide a clear and comprehensive description of the policies and procedures for payment and reimbursement of travel expenses for Outreach Activities and On – Duty Travel.

#### Travel Approving Authority

The travel and budget approvals for a planned travel are approved by the following:

1. For travel related to Outreach Activities, the same is to be approved by the Senior Director - Admissions.
2. On – Duty travel for faculty is to be approved by their respective Deans.
3. For employee travel other than mentioned above, the approval is to be granted by the Pro - Chancellor.

#### Domestic Travel Reimbursement

1. Reimbursement of travel expenses, including accommodation charges and aper diem allowance, is granted in accordance with the rules laid down by the University from time to time. In case of local travel, up to a maximum stipulated amount per employee may be considered for food allowance (bills submission is a must in all cases).
2. Subject to limits as mentioned in Schedule III, the reimbursement of travel expense shall cover the following:
  - The actual cost of the ticket or fare paid for the journey
  - Accommodation charges, if any
  - A per diem allowance
3. An upgrade in the mode or class of travel is permissible only when authorized by the competent authority.
4. The University reserves the right to arrange or prescribe accommodation of its choice for any class of employees while they are on an authorized travel. The details of accommodation so prescribed shall be notified by the University from time to time. When accommodation is not provided for any class of employees while they are on an authorized travel, the actual room rent within the tariff range given in Schedule III is admissible, subject to the production and submission of the original hotel bills.

5. The airfare shall be reimbursed only against the production and submission of receipts, used tickets or passenger boarding pass. In the case of all other modes of travel, claims are to be supported by the original or duplicate of the tickets for reimbursement.
6. The claim for reimbursement on travel between two places is regulated by the shortest of the two or more practical travel routes. When there are alternate routes available and the difference between such travel routes both in terms of time and cost is not considerable, the fare for the route actually traveled may be admitted.
7. When an employee is required to cancel the journey, the difference between the fare actually paid by the employee including reservation charges, if any, and the amount refunded by the transport authority, booking agent or service provider on such cancellation may be reimbursed, subject to the following conditions:
  - a) The cancellation of the journey is due to the exigencies of University work and the competent authority has authorized such cancellation.
  - b) The claim for reimbursement is restricted to the amount admissible had the journey been made by the shortest route.
  - c) The claim for reimbursement is in respect of the amount actually paid by the employee for the travel ticket inclusive of reservation, if any, but does not include any commission paid to booking agents or other incidental expenses incurred for reservation.
  - d) The cancellation has been made by the employee in such a manner that where without any loss of time and the advantage of lower rates of cancellation, charges has been availed of.
8. A per diem travel allowance is admissible from the time of commencement of the journey till the time of return to the usual place of residence and upon completion of the travel.
9. A per diem travel allowance is calculated as follows  
for travel exceeds percent
  - a. Five hours but less than 12 hours : 50 percent of per diem
  - b. 12 hours : Full amount of per diem
10. Per Diem allowances are granted while on travel to defray the cost of meals, refreshment, restaurant and room tips, laundry charges and other incidental expenses. Therefore, these expenses are not separately reimbursed.
11. Charges towards baggage handling, porter charges, official telephone calls, and so on, shall be admissible and shall be reimbursed if they are reasonable on or supported by bills.
12. When the cost of meals and refreshment are included in the room rent of the hotel of stay or included in the package (such as registration fee for a conference) or otherwise borne by the University, the entitlement to a per diem allowance will be restricted to 50 percent.
13. A per diem allowance is not admissible on travel between two places except when overnight stay is authorized as part of the itinerary. However, reasonable expenses on food and refreshment up to the amount of per diem allowance applicable to the employee shall be reimbursed with the submission of bills.

14. A per diem allowance is not admissible during the period when an employee goes on leave while on an official itinerary.
15. A claim is settled on the basis of information available on the date of admitting the claim for reimbursement. A revision of a claim for the per diem travel allowance once admitted is not permissible. Accordingly, no arrears of the per diem travel allowance shall be payable where an employee is promoted, reverted or is otherwise granted an increase in the basic pay or a change in the scale of pay with retrospective effect.
16. If an employee makes own arrangements for food and lodging, and so on, then the employee is eligible for 50 percent of the per diem.

### **International Travel Expense Reimbursement**

1. When a faculty or member of the staff travels out of the country for either attending a conference, seminar or workshop, or, alternatively for any other activities of the University, the employee shall be reimbursed for the following:
  - The air tickets (actuals)
  - The accommodation expenses
  - The food expenses
2. The employee shall also be given a per diem allowance as decided on a case-to-case basis by the Chancellor and depending on the country or place being visited. The accommodation and food expenses shall also be decided based on the country or place that the employee is visiting. The employee shall carry all the bills related to accommodation and food expenses for reimbursement.
3. The existing rates of reimbursement are given in Schedule IV. In the case that bills are not available, employees can claim USD 30 per day as per diem.

### **Process for Travel Approval**

1. Employees are required to fill and submit the Travel Request Format least 10 – 12 days prior to the date of travel to their HODs for verification of information. (<https://forms.office.com/r/KidFrb9vyv>)
2. The HOD is required to verify the details relating to travel and its eligibility within 2 working days of receiving the form.
3. After verification, the HOD needs to send the form to the appropriate Approving Authority for approval of travel request.
4. The Appropriate Authority needs to approve or deny the travel request within 2 working days of receiving the form and send it to the Human Resource Department for further processing.
5. Based on the recommendation of the Appropriate Authority, HRD needs to communicate with the Accounts office for releasing the advance amount (if applicable) to the travelling employee and also make required travel arrangements if any.

**Process for Travel Reimbursement**

1. Employees are required to submit the Travel Reimbursement form attaching original or duplicate bills for all expenses incurred during the travel for which the reimbursement is sought for including hotel bills, local travel, restaurant bills etc. within 3 working of days of reporting for duty after the travel to the HRD. (<https://forms.office.com/r/hyW5Chv3b1>)
2. After receiving the reimbursement form, the HRD checks how much of the expenses incurred are eligible for reimbursement as per the policies and allowances of the University within 2 working days of receiving the form.
3. After verification of eligibility of costs, the HRD calculates how much of the amount has to be returned by the employee where the expenses are less than the approved advance amount or to be paid to the employee in cases where the expenses are in excess of the advance paid to the employee.
4. The final reimbursement form is sent to the Appropriate Authority for the final approval.
5. After approval for the Appropriate Authority, the form is sent back to the HRD from where it is communicated to the employee how much amount is to be returned to the account's office.
6. In case of expenses incurred are over the advance amount, the HRD communicates the final amount to be released towards the employee to the Office of Accounts.

**Annexure 1: Referral Bonus Table**

The Referral Bonus and the Referral Retention Bonus will be paid as per the table below:

<b>Slabs</b>	<b>Referral Bonus (Paid after 180 days of successful employment)</b>	<b>Referral Retention Bonus (Paid after 24 months of successful employment)</b>
Director/ Associate Director/ HOD/ Area Chair/ Programme Director/ Programme Head/ Professor/ Associate Professor	25,000	25,000
Assistant Professor/ Senior Manager/ Associate Manager/ Deputy Manager/ Assistant Manager	15,000	15,000
Superintendent/ Sr. Counselor/ Counselor/ Admissions Officer/ Videographer/ Sr. Executive / Executive/ Graphic Designer/ Sr. Administrator: System, Server, Server Network/ Sr. Engineer: Desktop Support, Software Engineer, Application Support, Computer Hardware/ Network Technician/ Analyst: Data/ Information Security/ Systems/ Cyber Security, ERP/ Web Designer/ Coach/ Referee/ Wardens	5,000	5,000

**Annexure 2: Employee Referral Form**

<b>Name of Employee</b>	
<b>Employee Code</b>	
<b>Department</b>	
<b>Name of Referred Applicant</b>	
<b>Contact Details</b>	Phone No:
	Personal E-Mail ID:
<b>Position Referred for</b>	
<b>Current Organization</b>	
<b>Current Designation</b>	
<b>Current Work Location</b>	
<b>Experience (in years)</b>	
<i>Please attach CV of referred applicant</i>	
<b>For HRD</b>	
HR Name:	HR Signature:
Comments (if any)	

**Schedule1****Employee Leaves**

Sl. No.	Type of Leave	Days	
		Employee Under Probation	Confirmed Employee
1.	Casual Leave (CL)	1 day of leave per month	12 days of leaves <i>per annum</i>
2.	Sick Leave (SL)	6 days of leaves <i>per annum</i>	6 days of leaves <i>per annum</i> or 12 half day leaves <i>per annum</i>
3.	Earned Leave (EL)	NA	20 days of leaves <i>per annum</i>
4.	Maternity Leave (ML)	NA	180 days of leaves.
5.	Sabbatical Leave	NA	As per the UGC guidelines but sanctioned on a case to-case basis.

**Schedule II****Reimbursement of Local Travel Conveyance**

Reimbursement of Local Travel Conveyance	Two-Wheeler	Four-Wheeler
		@ Rs. 4 per kilometer

### Schedule III

#### Reimbursement of Domestic Travel and other Expenses University Cadre and Professors

Designation	Allowance ( <i>per diem</i> )	Travel Class/Mode	Accommodation Tariff ( <i>per diem</i> )
Vice- Chancellor/ Pro- Vice Chancellor	Actuals	Air (Economy)/ Train AC First Class	Actuals
Director/Registrar/ Dean/Professor/Associate Dean	Metros: Rs. 1500 Class I Cities: Rs. 1000 Others: Rs. 800	Air (Economy)/ Train AC 2T	Metros: Rs.4500 Class I Cities: Rs.3000 Others: Rs.2000

#### Reimbursement of Domestic Travel and other Expenses Faculty and Staff

Designation	Allowance <i>per diem</i>	Travel Class/Mode	Accommodation Tariff <i>per diem</i> (up to)
Associate Professor/Dy. Registrar	Metros: Rs. 1000 Class I Cities: Rs. 800 Others: Rs. 600	Air (Economy)/ Train AC 2T	Metros: Rs.3700 Class I Cities: Rs. 2000 Others: Rs. 1600
Assistant Professor/Assistant Registrar	Metros: Rs.900 Class I Cities: Rs. 700 Others: Rs.500	Train AC 2T	Metros: Rs.3200 Class I Cities: Rs. 1800 Others: Rs. 1500
Other Faculty	Metros: Rs.600 Class I Cities: Rs. 400 Others: Rs.300	Train AC 3T	Metros: Rs.2200 Class I Cities: Rs. 1500 Others: Rs. 1000

NOTE:

- If local official travel is more than the *per diem*, then reimbursement can be done with necessary approvals.

**Reimbursement of Domestic Travel and other Expenses**  
**Staff**

<b>Designation</b>	<b>Allowance (per diem)</b>	<b>Travel Class/Mode</b>	<b>Accommodation Tariff per diem (up to)</b>
Director/Deputy Director/ HoD	Metros: Rs. 1000 Class I Cities: Rs. 800 Others: Rs.600	Air (Economy)/ Train AC 2T	Metros: Rs.3700 Class I Cities: Rs. 2000 Others: Rs. 1500
Senior Manager / Manager	Metros: Rs.900 Class I Cities: Rs. 700 Others: Rs.500	Train AC 2T	Metros: Rs.3200 Class I Cities: Rs. 1800 Others: Rs. 1500
Deputy Manager/ Assistant Manager	Metros: Rs.800 Class I Cities: Rs. 600 Others: Rs.450	Train AC 2T	Metros: Rs.2800 Class I Cities: Rs. 1700 Others: Rs. 1400
Senior Executive / Officers	Metros: Rs.600 Class I Cities: Rs. 500 Others: Rs.400	Train AC 2T	Metros: Rs.2500 Class I Cities: Rs. 1500 Others: Rs. 1200
Executive/ Research Associate/Teaching Assistant	Metros: Rs.500 Class I Cities: Rs. 400 Others: Rs.300	Train AC 3T	Metros: Rs.2200 Class I Cities: Rs. 1500 Others: Rs. 1000

**NOTE:**

- Where the Train AC 3T travel facility is not available, the employee travel may be made by 2T with prior permission.
- Wherever travel by train facility is not available, travel by bus has to be undertaken.
- All bills are to be submitted to the office of the HR Department for sanction.
- Journey by air is allowed only when the distance between the places is more than 500km.
- Journey by car is allowed only when the distance between places is less than 200km.
- Reimbursement of bills will be either actuals or as per eligibility, whichever is lower.
- Competitive authority is the Pro-Chancellor or any other persons authorized by the Pro-Chancellor.

## Schedule IV

## Reimbursement of International Travel Expenses

Designation (Grade)	“A”		“B”		“C”	
	Boarding and Lodging		Boarding and Lodging		Boarding and Lodging	
	Accommodation in USD	Daily allowance against bills in USD	Accommodation in USD	Daily allowance against bills in USD	Accommodation in USD	Daily allowance against bills in USD
Vice Chancellor/ Pro-Vice Chancellor	Actuals	Actuals	Actuals	Actuals	Actuals	Actuals
Registrar/Dean/ Professor/Associate Professor/Senior Associate Dean	200	75	200	75	150	75
Assistant Professor/ Assistant Director	150	75	150	50	100	50
Manager	125	50	100	50	75	50
Senior Executive and other employees	100	50	90	50	70	50

Category “A”	Europe, USA, Canada, Japan, Australia, Switzerland
Category “B”	Dubai, Singapore, Hong Kong, Malaysia, China, Taiwan
Category “C”	All other countries not covered in "A' and "B"

Note: Airfare for international travel will be by economy class only.

## Schedule V

### Housing Facility

#### Allotment of apartments

1. Guidelines for Allotment of Apartment
  - (i) Faculty and staff, in lieu of HRA, may seek University accommodation subject to the availability of such accommodation.
  - (ii) Faculty and staff that are provided with accommodation by the University shall not be entitled for house rent allowance.
  - (iii) If there is a waiting list of faculty and staff that are eligible for accommodation, the apartment allotment shall be made on a first-come-first-served basis.
  
2.
  - (i) The employees need to fill Form No.AU/HRD/013 (Employee Undertaking for Accommodation), which is available with the HRD. The employee can shift into the residential apartment up to only one week prior to his/her joining the University. The electricity, water, maintenance charges and phone bills have to be borne by the employee himself/herself. In case of any damage to the property caused by the employee, the cost of renovating or replacing the damaged item (refer: Goods/Materials mentioned in Form No.AU/HRD/013) has to be borne by the employee alone.
  - (ii) Whenever the employee resigns from the University, he/she has to vacate the accommodation. In case of any damage, the cost of renovating or replacing the damaged item has to be borne by the employee. Non-conformance with the above would result in holding back of the Relieving and Experience Certificate of the employee. The deductions will be made from the final settlement due to employee.

## Schedule VI

### Professional Development

#### Conferences and Seminars (Domestic)

1. An employee whose services are confirmed by the University can avail of reimbursement of allowable expenses (travel, incidental expenses, per diem allowance, accommodation and registration fee)

**For Faculty:** up to a sum of Rs.40,000 per year (effective start of financial year) for presenting a paper/Chairing conferences and seminars and up to a sum of Rs.20,000/- per year for attending FDPs, MDPs and workshops

**For Staff:** up to a sum of Rs. 15,000 per academic year for presenting a paper/Chairing conferences and seminars and up to a sum of Rs.25,000/- per academic year for attending FDPs, MDPs and workshops.

Only under special circumstances, can both be combined and the competent authority have to finally approve the same.

2. The reimbursements shall not be made by the University if costs are borne by the host institution to which the faculty or staff is deputed. However, incidental expenses to the tune of 50% of the per diem entitlement shall be considered, on a case-to-case basis.
3. Any faculty/staff visiting other academic institutions, even in their personal capacity, are required to inform their respective Dean(s)/HoD about the nature and purpose of their visit. However, unless such visits are officially sanctioned by the University, the concerned faculty/staff will not be entitled to any duty leave, TA, DA or any other allowance unless approved/recommended by their Dean/HoD.

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# ALLIANCE

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# UNIVERSITY

*Private University established in Karnataka State by Act No.34 of year 2010  
Recognized by the University Grants Commission (UGC), New Delhi*