



**HUMAN RESOURCE
DEPARTMENT
HANDBOOK**

Assam down town University



DECLARATION

The objective of this Manual is to compile the HR policies and procedures followed in Assam down town University (AdtU). It also presents the general rules and regulations that govern the employees of the University. The University reserves its right to interpret, change, suspend, cancel, or dispute, with or without notice, all or any part of what is contained in the Manual. The University will notify all employees of such changes. In the interpretation of any policies and procedures covered in the Manual, the Management's decision will be final and binding on all employees of the Institute. These Regulations shall apply to all the teaching and management staff on regular rolls of the University (other than those engaged on contract or part-time basis). Teachers of the University include Dean of Faculty /Principal/ Director of the Institution /Head of the Department, Professor, Associate Professor, Assistant Professor and such other persons as may be appointed for imparting education /instructions conducting research in the University and are designated as Teachers by the management. They will be governed by these Service Regulations including the administrative orders, which are presently applicable to the employees of their status at the place of posting and which may be added, modified, altered, changed or replaced by the management, from time to time, in addition to statutory requirements and/or other conditions specified in individual letters or contract of service. These will form an integral part of all employment contracts with the University. Successful working conditions and relationships depend upon successful communication. It is important that employees stay aware of changes in procedures, policies and general information.



(Ms. Manika Bora)

Deputy Director- HR/ Admin



Table of Contents-

GLOSSARY

1. Introduction

- Assam down town University- About
- Vision and Mission of ADTU
- Purpose of the HR Manual
- Scope and Applicability

2. Employment Policies

- Recruitment and Selection
- Employment Categories
- Equal Employment Opportunity
- Probationary Period
- Job Rotation Policy
- Condition of Service

3. Employee Conduct and Discipline

- Code of Conduct
- Attendance and Punctuality
- Holidays
- Compensatory Off
- Dress Code
- Disciplinary Committee & Procedures

4. Compensation and Benefits

- Salary Structure
- Employee Benefits
- Welfare Policy
- Leave Policies (Casual Leave, Sick Leave, Maternity Leave, etc.)
- Policy Rules

5. Performance Management

- Appraisal Policy
- Promotions Policy
- Transfers Policy
- Training and Development



6. Workplace Policies

- Work Hours and Breaks
- Anti-Harassment Policy
- Grievance Redressal Mechanism
- Employee Relations

7. Research & Development

- Research Policy
- Consultancy Policy & Procedure
- Seed Funding Assistance for Research
- Research Promotion Policy
- Publication Policy
- IPR policy

8. Separation Policies

- Resignation
- Termination
- Suspension
- Unforeseen event/ Death of an employee
- Retirement
- Exit Formalities
- Exit Interview & Final Settlements

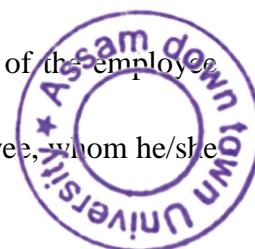
9. Miscellaneous Policies

- Use of University Property
- Confidentiality Agreement
- Outside Agreement
- Involvement in Politics
- Criticism of University
- Private Trade Employment or Tution
- Social Media Policy

10. Flow chart of the disciplinary Committee.

GLOSSARY

- i) **“University”** means The Assam down town University (AdtU).
- ii) **‘Chancellor’** means the Chancellor of the University.
- iii) **‘Vice Chancellor’** means, the Vice Chancellor of the University.
- iv) **‘Government’** means the Government of Assam.
- v) **“Trust”** means the down town Charity Trust which was formed under a Deed of Trust, executed on **29th December, 1997**.
- vi) **‘Governing Body’** means the Governing Body of the University.
- vii) **“Management”** means the Board of Management of the University constituted as per the Act and Statutes
- viii) **Registrar”** means the Registrar or any other person duly authorized by the Vice-Chancellor to discharge the duties and responsibilities of the Registrar ‘Dean’ means the Dean of Faculty comprising of institutes/ departments / centres assigned to the faculty.
- ix) **“Director”** means, the Head of the Department/ Centre or the person nominated for the purpose to act as such in his / her absence.
- x) **‘Faculty’** means a university teaching department or a centre of studies and research support established by the university to carryout teaching, research and extension activities.
- xi) **‘Management’** means the Governing Body which consist the members of the Board of Trustee.
- xii) **‘Employee/Member’** means a person employed by the University and includes teaching as well as non-teaching staff.
- xiii) **“Competent Authority”** means any employee of the university declared / nominated by the Vice-Chancellor / Board of Management for specific purpose.
- xiv) **“Year”** means calendar year / academic year / financial year as the case may be.
- xv) **“Duty”** means a faculty member/ staff performing the duties of the post for which he/she is appointed and other assignments given by the higher authority of the university.
- xvi) **“Leave”** means leave of absence sanctioned by the competent authority to a staff member to which he/she is eligible as per the rules of the University.
- xvii) **Employee”** any person appointed by the University, which may include teaching, on teaching, except the employees who are hired on the daily wages.
- xviii) **“Medical Certificate”** means a certificate issued by a registered medical practitioner.
- xix) **“Month”**, shall mean complete calendar month.
- xx) **“Probation Period”** shall mean the period defined in the employment agreement of an employee, to test his/her performance and see the suitability for the post he/she is recruited on. On the successful completion of the probation period, the employee shall become a regular employee.
- xxi) **Professional Tax”** shall mean the amount deducted from the salary of the employee towards the payment of tax to the Government.
- xxii) **Reporting Authority”** shall mean the reporting officer of any employee, whom he/she shall report his/her work in the university.



CHAPTER 1- INTRODUCTION

I. Assam down town University- About

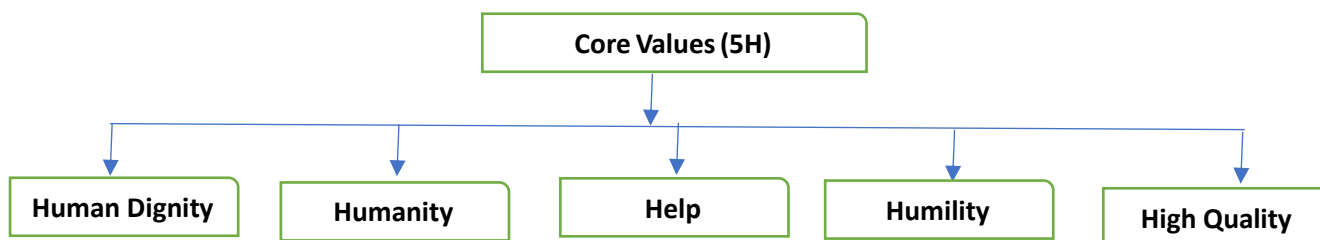
Assam down town University has been a pioneer of modern global education. The journey of the university started with down town Charity Trust that established this institution in 2010 nestled in the scenic surroundings of Panikhaiti, Chandrapur, Guwahati. It had resolved to provide affordable quality education to the people of the North Eastern Region of India. Assam down town University began in 2010 with a resolute mission to address the region's need for accessible and quality education. Over the years the education at AdtU has become more global in nature as our programmes provide holistic professional. The university has assembled a team of over 300 plus esteemed faculty members, a fusion of industry veterans and renowned academicians. Their guidance shapes students into future leaders' education fit for the real-world challenges.

II. Vision and Mission of ADTU

Assam down town University aims to foster excellence in education, research, and community engagement. Our mission is to create a nurturing environment that promotes intellectual, cultural, and ethical development. We believe in fostering the ideology of **“Together We Achieve More”**

Our Vision and Mission consist of -

- Recruiting and hiring brilliant human resources with diverse ethnic and cultural background having wide exposure and capable of aligning the AdtU’s goals of pursuing excellence in academic, research and outreach.
- Strengthening the employers and employee’s relationship with raising employee engagement and satisfaction level.
- Fostering development of human resources through professional programmes for enhancing their global competitive ability and performance
- Ensuring equity and inclusivity-based HR procedures in compliance with respective statutory regulations.
- Encouraging a culture of trust, acceptance, sharing and cooperation for attaining excellence in knowledge dissipation, research and outreach
- Promoting 5-H Core value-based engagement, action and achievement.



III. Purpose of the HR Manual

This HR manual provides guidelines and information on the policies and procedures that govern employment at ADTU. It serves as a reference for employees to understand their rights and responsibilities.

IV. Scope and Applicability

The policies outlined in this manual apply to all employees of ADTU, including faculty, administrative staff, and support staff.



CHAPTER 2- EMPLOYMENT POLICIES

I. Recruitment and Selection

ADTU is committed to recruiting the best talent through a transparent and merit-based selection process. The recruitment process follows certain procedures mentioned below: -

1. Requirement from Faculty of Study/ Department/Cell/Section
2. Approval from Dean of Studies/ Vice Chancellor/Registrar (Administration)
3. Confirmation send to HR Office

Process 1.1

- a. Advertisement through local newspaper, social media pages etc.
- b. Primary screening for eligibility by HR Office
- c. Faculty reviewing by the screening committee

Process 1.2

- a. CV searching by the Talent Acquisition team through social/ professional platforms and HR service providers

Process 1.3

- a. Scheduling of interview by HR Office 1st round of interview conducted by faculty Interview Committee
- b. 2nd round of interview conducted by Central Interview Committee
- c. Final round of interview conducted by HR Office

Process 2:

- a. Campus Hiring by contacting TPO of renowned institutions
- b. Faculty reviewing by the screening committee
- c. Scheduling of interview by HR Office
 - 1st round of interview conducted by Faculty Interview Committee
 - 2nd round of interview conducted by Central Interview Committee
 - Final round of interview conducted by HR office
4. Offer letter
5. Reporting of the candidate
6. Joining formalities: Welcoming process.
7. Report to the Dean of the Faculty/ Section Officer/ reporting Officer
8. Induction
9. Appointment letter

Checklist of documents required for joining

On the day of joining, the candidate does the joining formalities wherein the joining report needs to be filled along with other documents. The candidates are also required to carry the self-attested photocopies of documents, to be submitted, and also its originals, for verification purpose which is returned in the same moment. The list of the documents to be submitted by a candidate is:



- a. Class X Marksheet & Certificate
- b. Class XII Marksheet & Certificate
- c. Graduation Marksheet (All the semesters/years, whichever is the format)
- d. Graduation Certificate
- e. Post-Graduation Marksheet (All the semesters/years, whichever is the format)
- f. Post-Graduation Certificate
- g. Registration certificate (if any)
- h. Diploma marksheet/certificate (if any)
- i. NET/SLET/GATE/JRF (as applicable)
- j. Other certificates (if any)
- k. Release letter/Experience letter of the previous employer (as applicable)
- l. Age Proof
- m. Permanent Address Proof
- n. Pan Card
- o. Proof of Bank Account
- p. 4 passport size photographs.
- q. Resume

It is mandatory for the staff members to provide their permanent address and present/correspondence address and it is their responsibility to inform the HR department of any change in the addresses provided and help in keeping the database updated.

10. Report to the Dean of the Faculty/ Section Officer/ reporting Officer

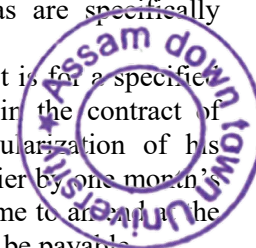
11. Induction

12. Appointment letter

II. Employment Categories

Employees shall be classified into any of the following categories:

- a. **REGULAR** - Regular employee is one who is employed against a regular post and includes an employee initially appointed on probation who has satisfactorily completed the period of probation.
- b. **PROBATIONER** - Probationer is a member who is provisionally employed on a regular post and is required to complete the probationary period to the satisfaction of the competent authority before regularization of his/her appointment.
- c. **VISITING** - A visiting employee includes a person who is engaged for a limited period, usually one semester or less, and is compensated as per guidelines governing compensation to visiting faculty.
- d. **PART-TIME** - Part-time employee means a person who is engaged for work for less than the normal working hours. Part-time employees are ordinarily not entitled to the benefits provided to full-time employees. They are allowed such benefits as are specifically determined.
- e. **CONTRACT** - The tenure of employment of an employee on contract is for a specific period of time and he is entitled to only the benefits specified in the contract of appointment. Such an employee shall have no right to claim regularization of his employment after expiry of the specified period. Unless terminated earlier by one month's notice or salary in lieu thereof, such appointment will automatically come to an end at the expiry of the specified tenure/period and no notice or compensation will be payable.



III. Equal Employment Opportunities

This policy is implemented to ensure effective resolving of any complaints relating to alleged discrimination and ensure that all personnel responsible for making employment decisions understand the essence of providing equal opportunities at work. AdtU seeks to promote itself as an in which each person has an equal entitlement and access to high quality opportunities and services irrespective of: Race, Religion, Age (subject to minimum age of 18 years), Disability, Gender Sexual orientation, social class and Origin. All Employees (including contract staff) and applicants for employment will be given equality of opportunity to progress to the level of their potential without regard to the above given attributes. All employees shall respect the “Rights and Liberties” of others irrespective of their status in the organization. AdtU is opposed to discrimination, whether intended or unintended, in all its forms

IV. Probationary Period

Duration: Typically, six months for new employees.

Evaluation: Performance and conduct during this period are evaluated to determine suitability for continued employment.

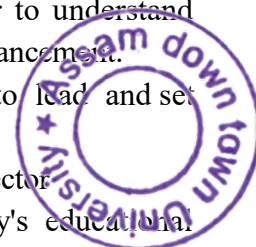
V. Job Rotation Policy

Job rotation is the systematic movement of employees from one role to another within the organization at appropriate intervals to achieve various objectives as and when required by the Trust. Job rotation may be inter-departmental or intra-departmental within a division of the organization or in a cross-functional division.

VI. Conditions of Service

As a responsible Faculty you should:

- (i) Perform responsibilities in the areas of teaching, tutorials, practical, seminars, research, and outreach activities diligently and conscientiously.
- (ii) Pursue on-going professional development through research, study, and invention.
- (iii) Participate in professional gatherings, seminars, conferences, etc. to voice your constructive viewpoint in support of knowledge-sharing.
- (iv) Maintain active involvement in professional organisations and strive to improve education at the university and profession through them.
- (v) Preparation and implementation of strategies to enrich students skill enhancement
- (vi) Conduct counselling sessions regularly with students in order to understand their mental and intellectual needs and to foster their career advancement.
- (vii) Ought to acquire furnished technical proficiency in order to lead and set technical direction for the organization
- (viii) Update with recent advancement in knowledge and education sector
- (ix) Cooperate and help carry out tasks related to the university's educational obligations, such as helping to evaluate admissions applications, advising and counselling students, and assisting with the supervision, invigilation, and



evaluation of examinations

- (x) Flexibility to perform administrative responsibilities related to accreditation in compliance with statutory bodies and University rules and regulation if needed.
- (xi) Engage in extracurricular, co-curricular, and extracurricular activities, such as community service.
- (xii) Perform any other duties as assigned by the university from time to time.

Other Terms and Conditions for both teaching & non-teaching staff:

1. For six days a week, you will be on duty for eight hours starting at 9 a.m. You will be in charge of attending classes, holding exams, planning and directing various pertinent events, etc. You can be asked to put in more time or work on certain days as needed.
2. You will occasionally be assigned additional tasks by your superior authority that must be completed in the interest of the university. However, these conditions must not be detrimental to your general service conditions or without affording you reasonable chance of making due representation.
3. Any institute affiliated with the downtown Group may use your service. As and when necessary, you can be asked to participate in the institute's promotional initiatives. During the duration of your engagement, The Trust reserves the right to transfer or deputize you to any of its Institutions. You agree to follow by all Trust rules and regulations, both current and potential future additions.
4. If you decide to leave the aforementioned service for any reason, you must give written notice of your intention to do so at least three months in advance. If this notice is given for a shorter amount of time than three full months, you will be required to deposit cash equal to the pay for the months that were not covered by the three-month notice period before you are released from the service.
5. Throughout the duration of your employment with the university, you must provide all of your time and attention to the university's business and refrain from participating directly or indirectly, full- or part-time, in the affairs or activities of any other organization.
6. The University reserves the right to deduct from the dues payable to you for any loss or damage caused to its property as a result of any act of negligence on your part, in addition to any other methods of recovery, and you will immediately hand over all documents, data, specifications, or any other article or property of the University entrusted to you to enable the Trust to settle your accounts.
7. If at any time the authority, in its sole discretion, determines that you have engaged in activity that is detrimental to its interests or in violation of one or more of the provisions of this appointment, your services may be terminated immediately and without prior notice.



CHAPTER 3- EMPLOYEE CONDUCT AND DISCIPLINE.

I. CODE OF CONDUCT –

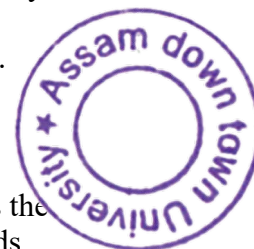
Employees are expected to maintain the highest standards of professional behaviour, including honesty, integrity, and respect for others. The work rules and standard of conduct are important, and the University regards them seriously. Effective discharge of duties implies acceptance of a certain standard of conduct by all members of staff. Further, it is important that the staff be aware of the violations which can lead to formal disciplinary proceedings being initiated against them, particularly those violations deemed to be gross misconduct, in which proceedings may result in dismissal.

I. 1 Code of Conduct for Faculty

- 1) A Faculty shall carry out the legitimate academic and administrative decisions taken by the authorities of the University pertaining to his/her sphere of responsibility/duties.
- 2) A Faculty shall not discriminate against a student on political grounds for reasons of race, religion, caste, language or sex or for other reason of an arbitrary or personal nature and shall not incite students/teachers against other students or other teachers, colleagues or administration/Governing body of the University.
- 3) A Faculty shall not remain absent from duty without proper sanction of leave except in case of emergency.
- 4) A Faculty shall desist/refrain from indulging in unempirical publication which would prove to be detrimental to the reputation and the progress of the University.
- 5) Co-operate in the formulation of policies of the institution by accepting various offices and discharge responsibilities which such offices may demand.
- 6) Co-operate with the authorities for the betterment of the University, keeping in view its interest and in conformity with dignity of the profession.
- 7) Should adhere to the conditions of contract.
- 8) Refrain from availing themselves of leave except on unavoidable grounds and as far as practicable with prior intimation, keeping in view their particular responsibility for completion of academic schedule.
- 9) Must follow the AdtU Policies and instructions issued by the University authorities from time to time.
- 10) Contribute to the development and promotion of sound educational policy,
- 11) Contribute to the development of an open and reflective professional culture.
- 12) Treat colleagues and associates with respect, working with them in a very congenial Environment.
- 13) Assist newcomers to the profession, unless disclosure is required by the law or it serves compelling professional purpose.
- 14) Respect confidential information on colleagues unless disclosure is required by law or serves a compelling professional purpose.
- 15) Speak out if the behaviour of a colleague is seriously in breach of this code.

I.2 Code of Conduct for Employees (Admin staff)

- 1) The university expects its Employees to foster an environment which reflects the value of caring, learning, integrity, and respect adhering to high ethical standards while performing their duties.
- 2) Familiarize themselves with university policies that are relevant to their responsibilities.
- 3) Adhere to those policies to the best of their ability.
- 4) Assist and encourage others to adhere to the faculties (for example, directing a student to the appropriate channels).
- 5) Draw any kind of problem to the attention of the appropriate authority.



- 6) Not to use abusive or obscene language.
- 7) Not to make remarks or engage in behaviours that might reasonably be regarded as a violation of Human Rights code.
- 8) Engage in behaviour or remarks that could reasonably be interpreted as threatening and intervene if they witness such behaviour.
- 9) Not to be disrespectful of others or intolerant of orders.
- 10) Not to promote their personal religious, political, social or business agendas.
- 11) To refrain from using work-time to promote personal, religious, political, social or business agendas.
- 12) All staff must apply professional and ethical standards while in their activities.
- 13) They must use computing and communication facilities and services only for the purposes for which they are authorized.
- 14) Technologies must not be used to access, use or distribute obscene, vulgar materials which might be perceived by others as harassment or intimidation.
- 15) They should maintain a supportive environment for working and learning.
- 16) Demonstrate a concern for the appropriate use and maintenance of all equipment and stationeries provided by the University for various use.
- 17) Ensure that University services such as photocopying and postage are used only for university purposes.
- 18) Support staff will demonstrate courtesy, respect, patience and willingness to help in all their interaction with students, teachers, guardians, administrative personalities, general public in any context.
- 19) Must not express any view prejudicial to the interest of the nation & sovereignty and integrity of India; public order and morality.

II. ATTENDANCE AND PUNCTUALITY –

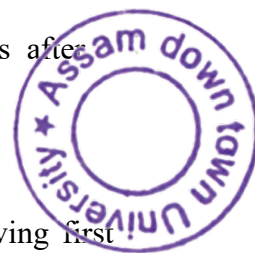
Accurately recording the time worked is the responsibility of every employee. Every employee is expected to record the time of her/his arrival and departure at and from the work place through the biometric system. Authorized personnel will review time records regularly. Any changes to an employee's time record must be approved by her/his Designated Supervisor. Questions regarding the timekeeping system should be directed to the appropriate authority. Following attendance procedure is to be followed: -

- Biometrics System is followed for maintenance of attendance record of employee in University Campus
- We work six days a week i.e. from Monday to Saturday from 08:45 am to 4:30pm
- Every employee must reach maximum by 9:30am in University premises
- Three days late will lead to One day salary pay cut
- Employee has no leave balance in his /her leave account for three months after joining.

II.1 Absence from duty

a) An employee shall not absent herself/himself from her/his duties without having first obtained the permission of the Designated Supervisor, nor shall absent herself/himself in case of sickness or accident without submitting medical certificate within three days of such absence provided that in the case of temporary indisposition the production of a medical certificate may, at the discretion of the Designated Supervisor, be dispensed with.

b) An employee who absents herself/himself from duty without leave or overstays her/his leave, except under circumstances beyond her/his control for which she/he must tender a satisfactory explanation, shall not be entitled to draw any pay and allowance for overstay.



c) All such unauthorized absence would be treated as misconduct and the employee shall further be liable to such penalties for the misconduct as the Designated Supervisor may deem fit.

f) An employee who is late in attendance, unless she/ he has given prior information to the Designated Supervisor, shall in addition to such penalties as may be imposed by the Designated Supervisor, forfeit one day casual leave/earned leave for every three days of late attendance in a month.

II.2 Hours of Attendance

The working hours of the University is from 08:45 am – 4:30pm from Monday to Saturday Except 1st and 3rd Saturday's which are close for teaching staff. The Competent Authority shall notify the office hours from time to time as per requirement. An employee may be required to work beyond office hours if the business of the University so demands.

II. Holidays

Holidays for the calendar year will be announced at the starting of each year irrespectively for teaching & non-teaching staff. Due to requirement of the time and work, employees may be required to work on holidays or on weekly-off days. Employees working on holidays / weekly-off days will be eligible for one day compensatory off. However, working on holidays / weekly-off day should have prior consent of the competent authority. The leave system needs to be utilised for this purpose and HR concurrence needs to be obtained for availing the Compensatory-Off.

III. Compensatory Off

Employees who work on weekly offs and holidays for the work of the University reasons/ requirements are alone eligible to avail compensatory offs. The following conditions apply:

- On prior approval from the respective reporting authority/ Dean/ Department head or Functional Head stating the reason
- Compensatory Offs should be taken within 1 months from the non-working day/ holiday worked
- Not more than 2 compensatory off days can be taken in a month
- No monetary compensation will be provided for working on a holiday or weekly off

IV. Dress Code

The dress code of the employees of the University shall be formal, and all the employees shall be properly groomed with appropriate dressing and professional.

The dress code for men shall be:

- a. Half/full sleeved formal shirt (plain or stripes), which shall be properly tucked in, accompanied with formal trouser pants and formal shoes
- b. Accessories: No fancy belts, jazzy jewellery are allowed.
- c. Grooming: All hair, moustaches and beards must be neatly groomed.

The dress code for women shall be:

- a. Women employees may opt for their choice of dress like Saree/Mekhala Chador or traditional dress
- b. Jewellery: Ostentatious jewellery is prohibited
- c. Grooming: All hair must be neatly groomed.



IV. Disciplinary Committee & Procedures

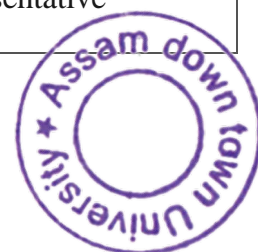
a) Disciplinary Action Committee

The Disciplinary Committee's mission is designed to help all students/employees to achieve and maintain acceptable standards of conduct, attendance and job performance. The University's aim is to inform its students of the policies and procedure applying to their studies/work and of the standards of conduct and behavior expected of them. Provide guidance and support so that the students/employees can best contribute to the University's mission and objectives in an open, fair and transparent working environment.

b) Members of the Committee:

The Disciplinary Committee of Assam down town University is hereby constituted with the following members which is issued with due approval from competent authority.

S. no	Name	Designation	Designation in the Committee
1.	Mr. Ashim Barman	Additional Registrar (Administration)	Chairperson
2.	Ms. Monika Bora	Deputy Director (HR and Administration)	Co-Chairperson
3.	Dr. Pratap Chandra Sharma	Chairperson, Faculty of Paramedical Science	Member
4.	Dr. Yahya Mazumdar	Deputy Registrar (Administration)	Member
5.	Mr. Nitul Jyoti Das	Deputy Registrar (Academic)	Member
6.	Dr. Joydeep Goswami	Controller of Examination	Member
7.	Dr. Debojit Bhattacharya	Associate Professor, Faculty of Science	Member
8.	Dr. Abhijit Dutta	Dean, Faculty of Paramedical Science	Member
9.	Prof. Manashi Sengupta	Dean, Faculty of Nursing	Member
10.	Mr. Pranab Barman	Hostel Warden, Boys	Member
11.	Ms. Utpala Barman	Hostel Warden, Girls	Member
12.	Mr. Nayan Moni Choudhury	Student ADTU/2021- 25/BPS/005	Student Representative
13.	Ms. Sanjukta Das	Student ADTU/2022- 26/BCSD/009	Student Representative



c) **Misconduct:** Without prejudice to the generality of the term 'misconduct', the following acts of omission and commission shall be treated as misconduct which would invite disciplinary action against the person. Breach of any of the service conditions will be considered as a misconduct, for which the competent authority may issue a Show Cause Notice to the employee concerned to explain his/her conduct. Following are the misconducts -

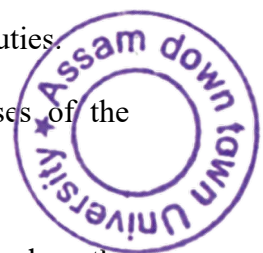
- a. Theft, fraud or dishonesty in connection with the business or property of the University or property of another person within the premises of the University.
- b. Taking or giving bribes or any illegal gratification.
- c. Furnishing false information regarding her/his name, age, father's name, qualifications, caste, ability or previous experience or services or any other matter relevant to the employment at the time of employment or during the course of employment.
- d. Furnishing confidential business information/ trade secrets to any agency outside the University including print and electronic media.
- e. Acting in a manner prejudicial to the interest of the University.
- f. Wilful insubordination or disobedience whether or not in combination with others of any lawful and reasonable order of his superior.
- g. Causing damage to work in progress or to any property of the University either wilfully or through negligence.
- h. Gambling within the premises of the University.

- i. Collection without the permission of the competent authority of any money within the premises of the University except as sanctioned by the authorities.
- j. Commission of any act which amounts to a criminal offence involving moral turpitude.
- k. Commission of any act subversive of discipline or of good behaviour.
- l. Abetment of or attempt at abetment of any act which amounts to misconduct.
- m. Unauthorized communication of information.
- n. Gross unprofessional conduct with respect to an employee or student (e.g. sexual harassment).
- o. Striking work alone or in combination with other employees or inciting them to strike work in contravention of the provisions of any law or rules having the force of law.
- p. Absence without leave or over-staying the sanctioned leave for more than three consecutive days without sufficient ground or proper/satisfactory explanation.
- q. Habitual late or irregular attendance.
- r. Negligence of work in performing duty including maligning or slowing down of work.
- s. Interference or tampering with any safety devices installed in the premises of the University.
- t. Drunkenness or riotous or disorderly or indecent behaviour in the premises of the University or outside such premises where such behaviour is related to or connected with the employment.
- u. Improper use of amenities supplied to facilitate the discharge of her/his duties.
- v. Canvassing or putting outside influence to further her/his interest.
- w. Smoking, consumption of alcohol or use of drugs within the premises of the University.

d) Punishment on violation of the rules and regulations by the employees: -

The employees shall be punished by the Disciplinary Committee, if found guilty, where the punishment for offences shall be:

- Record warning.



- Written Apology.
- Reprimanding.
- Recovery of whole or part of any monetary loss caused by any negligent actions of the employee.
- Suspension from duty.
- Withholding of salary/wages/lien.
- Demotion to a lower posting.
- Removal from service.
- Dismissal.

NOTE The above instances of misconduct are illustrative in nature and not exhaustive. The punishment for proved charges of misconduct shall depend upon the gravity of the offence and its consequential effect. The terms and conditions of appointment as contained in the service agreement/letter of appointment/code of conduct of the employees are supplementary to these norms of conduct and will apply conjointly.



CHAPTER 4 - COMPENSATION AND BENEFITS

I. SALARY STRUCTURE

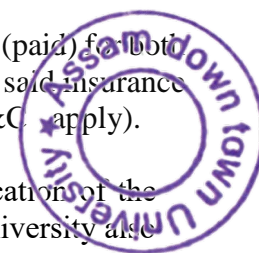
Salaries are determined based on qualifications, experience, and job responsibilities. The members appointed by the University shall be in the grades of Professor, Associate Professor, or Assistant Professor in so far as they take part in the teaching in the University and shall, except in the case of re-employed teachers and others whose terms of appointment might specify otherwise, be paid salaries on such pay-scales, or at such stage of such pay-scales and allowances, as the University may adopt or decide from time to time. Details on salary payment schedules and permissible deductions (taxes, benefits contributions, etc.). Along with salary following additional are included:

- Employee Provident Fund: - It is being paid as per the rules and regulations of Government of India.
- Employee State Insurance Corporation (ESIC): - It is being paid as per the rules and regulations of Government of India.

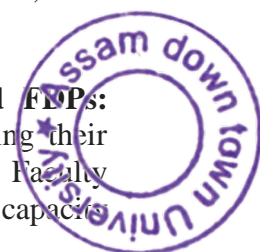
III. EMPLOYEE BENEFITS

General benefits accorded to the employees (Teaching & non-teaching) at AdtU are: -

1. **Subsidized transport facility:** The university provides substantially subsidized bus service for the faculty and staff members of AdtU. AdtU has a substantial number of buses that are operated by a team of skilled drivers to travel to and from various locations to serve the transportation needs of the student and staff members in a comfortable and hassle-free manner. The bus fees are charges at a concessional rate from the Teaching & Non-teaching staff. The faculty/staff members can avail transport facilities during the conduct of conferences/workshops, extension activities in adopted villages, educational tours, visits, or any other institution related official work. Besides buses, other institutional vehicles can also be availed by faculty and staff members by pre-booking the vehicle.
2. **Library:** The institution has a Central library which facilitates a great collection of resources relating to various disciplines, in addition to a digital library with its own server, space, and internet access for faculty/staff and students. The books can be taken by faculty/staff members using their ID cards.
3. **Medical Care:** The institution has a health care centre which is accessible to all the students, faculty and staff members. Qualified doctors have been appointed by the institution and are available for consultancy along with 24*7 ambulance services. Besides the University have a pharmacy and a physiotherapy clinic within the campus which is free for university employee.
4. **Concession in health care at down town hospital:** The University faculty and staff members are eligible for 20% concession on medical tests and hospitalization".
5. **Health care policy:** - Employees shall be eligible for a Health Insurance Policy (paid) for both individuals and families under AdtU auspices. The minimum coverage limit of said insurance policy shall be INR 1,00,000, with the maximum limit set at INR 5,00,000 (T&C apply).
6. **Canteen:** The University has six canteens/restaurants located at different location of the campus to cater to the need of the staff and students. In addition to this, the University also has its own bakery.
7. **ATM:** - ATM machine is installed in the campus for faculty, staff and students.



8. **Departmental store:** - A departmental store with almost all daily needs are put up inside the campus.
9. **Sports:** The University facilitates various sport facilities which can be availed by the staff of AdtU such as basketball court, football field, cricket field, table tennis and badminton stadiums, swimming pool and gymnasium.
10. **Financial Benefits for Research Publication/Patents/Books:** The University recognises and rewards faculty and staff members for their research publications, patents, and authored books, promoting a culture of intellectual growth and innovation within the University.
11. **Seed Money Grant:** University has the provision of seed money grant to provide initial support for Research and Development activities to all faculty members
12. **Reward Scheme for Externally Funded R&D Projects:** A dedicated reward scheme is in place for faculty and staff members who secure external research funding, further promoting a proactive Research and Development culture
13. **Best Faculty of Study Annual Award:** The "Best Faculty of Study Annual Award" is presented to the Faculty of Studies that excel in teaching, research, innovation, and overall achievements. This prestigious award highlights the valuable contributions of the faculty members to the University's development and success. The recipient Faculty of Study is entitled to receive a one-time award of Rs. 100000/-only.
14. **AdtU Best Teacher Award:** The AdtU "Best Teacher Award" is presented to faculty members who excel in extraordinary contributions in teaching, research and other academic/non-academic involvement within the University. The recipient is entitled to receive a one-time award of Rs. 50,000/- and an appreciation certificate.
15. **Best Innovator Award:** The "Best Innovator Award" is presented to faculty members in recognition toward development/and implementation of innovative products, processes or services as a solution to the problem, challenge being faced by individuals or society at large. The recipient is entitled to receive a one-time award of Rs. 30,000/- and an appreciation certificate.
16. **Best Researcher Award:** The "Best Researcher Award" is presented annually to the outstanding faculty member in recognition of extraordinary research contributions within the University. The recipient will receive one-time award of Rs. 50,000/- only and an appreciation certificate,
17. **Best Faculty of the Month:** The University recognises one faculty member every month as the "Faculty of the Month". The selected faculty member is entitled to receive recognition across all the social media handles of Adtu.
18. **Best Teacher in Responding and Executing Task (BTRET) Award:** The Best Teacher in Responding and Executing Task (BTRET) is presented to faculty members in recognition of dedicated involvement and discharge of duties/assignments/other responsibilities with utmost sincerity from time to time. The recipient is entitled to receive a one-time award of Rs. 30,000/- and an appreciation certificate.
19. **Financial Assistance for attending Conferences, Workshops, Seminars and FDPs:** Eligible faculty member may seek financial assistance for attending and presenting their research at National/International Conferences Seminars, Workshops, and Faculty Development Programs (FDP). This support aims to encourage academic growth and capacity building subject to terms and conditions.



20. Professional Membership Fees: In order to incentivize faculty members to engage in professional development opportunities provided by professional associations, the University has implemented a policy whereby it will cover the cost of professional membership fees. The amount of coverage provided will vary based on the staff member's duration of association with AdtU, with fees of Rs. 5000/-, Rs. 8000/-, and Rs. 15000/- being covered for those with 1-3 years, 3-5 years, and over 5 years of association, respectively.

IV. WELFARE POLICY

Welfare policy: It is designed to motivate the employees for ensuring greater efficiency and a healthy working environment. AdtU has introduced below mentioned awards and welfare activities in the recent years are-

1. Maternity Leave Provision: Employees drawing monthly remuneration equal to or exceeding Rs. 21,000/- shall be eligible for paid Maternity Leave for six months. Employees whose monthly remuneration is below INR 21,000/- shall be encompassed by the ESIC (Employees' State Insurance Corporation) Scheme.

2. Leave Entitlements: Upon the completion of initial 3 months, 12 Casual Leaves shall be credited on a pro-rata basis to the employee's leave account. After completion of 1 year of service at AdtU an employee can avail Medical Leave of 12 days and Earned leave of 16 days.

3. Insurance Provision: Employees shall be eligible for a Group Health Insurance Policy (partly paid) for both individuals and their families (optional). The minimum coverage limit of the said insurance policy shall be Rs. 1,00,000/- with the maximum limit set at Rs. 5,00,000/-

4. AdtU Loan Provision: Employees who have completed a three-year tenure at AdtU shall be deemed eligible for AdtU Interest-free Advance Loan Benefits. The maximum loan amount shall be Rs. 1,00,000/-

5. Accommodation: The University provides accommodation for the outstation Faculty on campus."

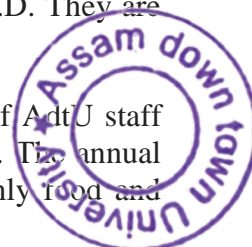
6. Baby Crèche Facility: The University provides a crèche facility for the wards of AdtU staff members on campus.

7. Free Psychological Counselling Services: The University has provision for free psychological counselling services for both students and faculty members, ensuring a supportive environment that addresses mental health and personal issues, contributing to overall holistic well-being.

8. Recognitions & Rewards: Employees who have reached the milestone of ten years of service at AdtU shall be awarded a 2gm gold coin, while those who have completed twenty years shall receive a 5gm gold coin.

9. Financial assistance to pursue PhD at AdtU: Faculty and Staff members who wish to enroll in the Ph. D Programme at AdtU are eligible to avail financial assistance to pursue Ph.D. They are given 50% scholarship on total course fee.

10. Subsidized education for staff wards at the down town school: The wards of AdtU staff members are eligible to avail subsidized school education at the down town school. The annual tuition fee is waived off for the wards and since it is a day boarding school so only food and transportation fees are charged.



V. LEAVE POLICIES

The purpose of the leave policy is to communicate the leave rules and regulations application to all concerned employees.

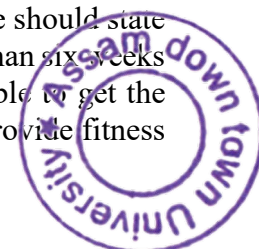
Types of Leaves:

- **Casual leave:** - Competent authority may grant casual leave for a period of 12 days only during the calendar year for unforeseen circumstances beyond the control of an employee. Casual leave cannot be carried forward to the next year and it lapses on the last day of the year. An employee can apply for casual leave not more than 4 days in one spell. Casual leave cannot be combine with any other kind of leave accept special cases. It may be combined with holidays including Sunday. Holidays or Sundays falling within the period of casual leave shall be counted as casual leave. An Employee on casual leave is not treated as absent from duty and his pay is not terminated.
- **Duty Leave:** - Duty leave not exceeding 10 days in academic year may be granted to an Employee on the following ground after prior approval of higher authority.
 - i. To conduct examination of a University / public service commission board of examination or other similar bodies / institutions.
 - ii. To inspect academic institutions, attach to a statutory board etc.
 - iii. To participate in a literary, scientific or educational conferences, symposium, or seminar or cultural or athletic activities conducted by bodies recognized by the University authorities or to do such work as may be approved by the vice-chancellor as academic work.
 - iv. Participating in a delegation or working on a committee appointed by the Government of India, State Government, the University Grant Commission, a sister University or any other academic body and for performing any other duty for the University.

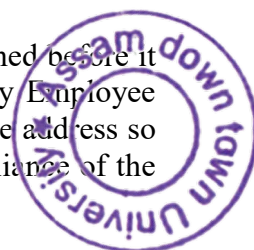
Note: Duty leave cannot be accumulated nor can it be combined with any other kind of leave except casual leave. It may be granted in the combination with holidays or vacation.

- **Study Leave:** - The competent authority may grant to an employee of the University study leave without pay where the course of study is directly connected to the efficiency of the employee and is going to be utilized by the University.
- **Earned Leave:** - Every employee of the University who has completed 12 months of continuous service is entitled to get earned leave for a period of 16 days in one year. The earned leave of one periodic year which remains unutilized will be carried forward to the next calendar year.
- **Maternity Leave:** - No Female Employee will be entitled for maternity benefit unless she has actually worked for a period of not less than 80 days in the 12 months immediately preceding the date of her expected delivery. But the qualify period of 80 days is not applicable to a women Employee who has immigrated to Assam and is pregnant at the time of immigration. Every women Employee will give notice in writing in such form as may be prescribed by the competent authority. Such notice should state the date from which she will be absent from work not being a date earlier than six weeks from the date of her expected delivery. Every women Employee is eligible to get the maternity benefit for three months after availing the leaves and have to provide fitness certificate from the prescribed Doctor upon joining.

N.B.: - Maternity Benefit can be availed up to first two children only.



- **Nursing Breaks:** Every women Employee returning back to the duty after delivery, in addition to the interval for rest allowed to her should also be allowed in the course of her daily work some breaks in the prescribed duration for nursing the child until the child attend the age of 15 month
- **Extra Ordinary Leave:** - The Competent authority may grant extra ordinary leave for without pay to an employee of the University under special circumstances as deemed just and proper. Provided that such leave is available for a period of three months only at a time.
- **Medical Leave:** - Every employee of the University who has completed 12 month of continuous service is entitled to get medical leave with wages for a period not exceeding 12 days on the ground of any sickness incurred or accident sustained by him/her. The insistence of medical certificates by registered medical practitioner will be made if the absence is more than 3 days.
- **Compensatory Leave:** - This leave is granted if the employees come on work during the holidays, normally compensated as leave to be taken.
- **Quarantine Leave:** - A staff member who wishes to apply for paid special leave for a quarantine period that is a period of compulsory isolation, after coming into contact with a person suffering from an infectious disease will provide a medical certificate or other satisfactory medical evidence to their supervisor. The authority competent to grant leave may in exceptional cases grant for the reasons to be recorded subjects to such term and conditions as it may deem fit to impose. Prior to, and as a condition of his/her return to work, the affected employee may be required to submit a written statement from the local health officer having jurisdiction stating that his/ her return to work will not put in danger the health of other employees.
- **Combination of Leave:** - Except as otherwise provided in this rule, any kind of leave under these rules may be granted in combination with or in continuation of any other kind of leave.
- **Conversion of one kind of leave into another kind:** - At the request of an Employee the sanctioning authority may convert any kind of leave retrospectively into leave of a different kind which was due and admissible to him at the time of the leave was granted, but the Employee cannot claim such conversion as a matter of right
- **Rejoining of duty on return from medical leave:** - An Employee whose leave is being granted on medical ground will be required to produce a medical certificate of fitness before resuming duties. The authority competent to grant leave may in its discretion, waive the production of a medical certificate in case of an application for leave for a period not exceeding 3 days at a time on medical ground. Such leave should not, however be treated as a leave on medical certificate and shall be debited against leave other then leave on medical grounds.
- **Application for leave:** - Leave should always be applied for and sanctioned before it is taken except in case of emergency and for satisfactory reasons. Every Employee proceeding on leave to an out station or otherwise should furnish his leave address so that to facilitate communication in the event of an emergency. Noncompliance of the provisions of the rule will be considered an act of misconduct.



- **Leave account:** - The leave account should be maintained for each Employee in the Department/ Employee concerned.
- **Leave year:** - The leave year runs from 1st January in every year to the 31st December of the same.
- **Public Holidays** - The University observes public holidays in a calendar year as approved by the Management based on the list of holidays declared by the Government of Assam every year.

V. POLICY RULES

Complete year of service means continuous service of the specified duration under the University, and include period spent on duty. One year successful / continuous service implies service for a period of 240 working days:

- **Right of leave:** - Leave cannot be claimed as a matter of right and when the exigencies service so demand, leave of any description may be refused or revoked by the leaves sanctioning authority / vice-chancellor. In case a Employee is asked to rejoin the duty before the expiry of his/her leave, such orders should be treated as urgent and mandatory in all cases.
- **Application for leave:** - Leave should always be applied for and sanctioned before it is taken except in case of emergency and for satisfactory reasons.
- **Commencement and termination of leave:** - Leave ordinarily begins from the date on which leave as such is actually availed of and ends on the day presiding on which duty is resumed. Sunday or other public holidays may be prefixed as well as suffixed to leave. Faculties have to be present on the last day of the term and on the opening day of the term after vacation.
- **Returned to duty on expiry of leave:** - Except with the permission of the authority who has granted the leave, person on leave must return to duty before the expiry of the period of leave granted to him/her.
- **Smoking at Work:** - **AdtU is a tobacco free University.** It endeavours to provide a healthy workplace for employees. Smoking, consuming tobacco and betel quid (gutka) is strictly prohibited in all areas inside the university premises including toilets, pantry, corridors, landings and stairwells etc. Consumption of alcoholic beverages or any other intoxicants is strictly prohibited within the premises of the company. Visitors on the premises of the company are also required to observe this rule and their host will ensure compliance.



CHAPTER 5- PERFORMANCE MANAGEMENT

Annual increment shall be granted to each member annually, unless it is withheld or postponed if his/her performance (work and conduct) has not been good/satisfactory, in the opinion of the competent authority.

Performance appraisal - guidelines

1. The appraisal aims at documenting
 - (i) the nature of work done,
 - (ii) quality of work done,
 - (iii) outstanding contribution made,
 - (iv) conditions under which various tasks have been performed,
 - (v) suggestions for improvements (appraisee's as well as appraiser's), and
 - (vi) developmental needs.

A Self Appraisal format is given which the employee needs to fill and submit to the HR Dept within a stipulated time, which afterwards verified by the HOD's

I. APPRASIAL POLICY

Performance Appraisal:

In case of non-teaching staff, the appraisal shall depend entirely on self-appraisal, peers feedback, performance and accomplishment of tasks within the given timeline and feedback from reporting authority. It is conducted yearly. In case of teaching staff, the appraisal shall depend entirely on self-appraisal, students' feedback, Dean/HoD feedback, paper publications.

Below is the appraisal process system.

Sub Process	Output	KPI
Prepare list for Appraisal	Taking permission from Trustees	Send self-appraisal form to all the Employee
Send feedback form to all department head /Supervisor	Fix date for Appraisal meeting	Prepare appraisal statement
Send notice to all selected employee to be present at appraisal meet	Inform Trustees about Appraisal date	Schedule meeting
Taking approval from Trustees	Prepare letters for increment	Send to all staff & accounts dept.

- **Faculty appraisal-** Appraisal of the faculties are conducted in the month of August of calendar year – Faculty appraisal criteria & weightage depends upon- **Teaching, Research, Administration & Extension work**. The Performance Appraisal Policy for faculty members aims to assess and enhance the performance of the faculty members working at Assam down town University in alignment with academic, research, institutional goals and professional development objectives. Faculties appraisal is also depending upon the efforts put by them for their self-development such as upgrading their qualification, getting opportunities to attend National and International Seminars/ Conferences and more involvement into research and development works etc.

- **Non-teaching staff**- For the non-teaching staff appraisal takes place in the month of May and December of every Calendar year. The Performance Appraisal Policy for non-teaching staff aims to assess and enhance the performance of the administrative personnel working at Assam down town University in alignment with institutional goals and professional development objectives. An Appraisal meeting happens in which an Employee will have to present their performance of the preceding year in front of a committee which includes members from Top Management, his/ her Manager and members from HR Dept.

Based on the assessments made in the appraisal form, rewards (as and when applicable/ possible) and development decisions (training, field visits, job-rotation, etc.) may be taken from time to time. Besides this, the appraisal process itself is intended to provide an opportunity for improving one's own effectiveness on the job through better planning, communication, and insights about job-performance.

Salary Appraisal/Career Advancement for Faculty Members Based on Research Projects, Awards, Publications, and IPR Activities

Assam down town University has revised the "Policy and Procedure for Revision of Pay/Salary of Faculty Members based on the Recommendations of the 7th Central Pay Commission (CPC)." Faculty members who meet the required criteria can apply for salary appraisal or career advancement twice a year. The appraisal is based on achievements such as research projects, awards, publications, and IPR activities. Applications should be submitted to the Registrar's Office with supporting documents, which will be verified through the ERP system. After a thorough evaluation, eligible faculty members will be notified of their salary revisions.

N.B- Giving appraisal is a sole decision of the Top Management

I. II. PROMOTION POLICY: -

As per the remuneration policy notified the policy states as below: -

- A faculty member shall be considered for promotion to next Pay Band/ Grade based on the number of positions vacant in respective programme/ Faculty of Study.
- In case of non-existence of vacant position, the Honourable Vice Chancellor may write to the the Honourable Chancellor for creation of such position, if the academics demands.
- The promotion shall depend entirely on self-appraisal, student's feedback, Dean/ HoD feedback in case of teaching staff.
- One must apply in prescribed format for promotion through the Dean of concerned faculty to the Registrar/ Dy. Registrar (Academics).
- The application shall be forwarded to the IQAC for reviewing and after reviewing and after reviewing the form is submitted to the Registrar/ Dy. Registrar (Administration) with remarks as per the set criteria.
- The Registrar/ Dy. Registrar (Academics) after reviewing the remarks of IQSA shall place it at the Office of the Vice Chancellor.
- The Office of the Vice Chancellor shall form 3-member committee to finally decide the potential promote for Associate Professor/ Professor.
8. In case of non-teaching staff, promotion to next level is based on the number of positions vacant. IN case of nonexistence of vacancy position, the HR Department may write to the competent authority for creation of such position, if the position demand.



III. TRANSFER POLICY

Purpose: The purpose of the policy is to recognize and reward merit and competent faculties of Assam down town University. This policy establishes the guidelines and procedures for Promotion of AdtU Faculty members in an academic and supervisory role. The teachers/faculty members eligible for promotion will be considered as per the latest "UGC regulations on minimum qualifications for appointment of teachers in **universities and colleges and measures for the maintenance of standards** in higher education", as notified by the University Grants Commission and on the basis of modifications in the notification circulated from time to time.

Eligible faculty **members can apply** to the Dean of their respective departments and submit their application to HR once in a year during the month of April for consideration of promotion. The applications in prescribed format along with the copies of the Annual Appraisal reports of last three years and other relevant documents must be routed through proper channel so as to reach the HR office within the stipulated period of time.

➤ **Promotion of Assistant Professor to Associate Professor:**

The candidates having a good academic record, with a PhD Degree in the concerned/allied/relevant disciplines with a minimum of eight (8) years of experience of teaching and/or research in an academic/research position equivalent to that of Assistant Professor in the University or Accredited Research Institution/industry with a minimum of 7 publications in the peer-reviewed or UGC-listed journals and fulfilling the API based PBAS conditions and having good reports from internal performance review carried out based on annual self-appraisal reports for the period of service in Associate Professor position.

➤ **Promotion of Associate Professor to Professor:**

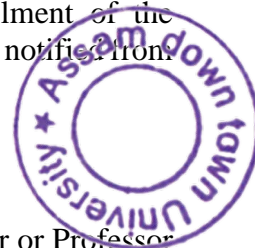
An Associate Professor having a Ph.D. degree in the concerned/allied/relevant discipline, and with evidence of published work with a minimum of 10 research publications in the peer-reviewed or UGC listed journals and fulfilling the API based PBAS conditions **and successful performance** review based on annual self-appraisal reports .A completion of a minimum of ten (10) years of teaching **experience in university as Assistant Professor/Associate Professor and/or research** experience at equivalent level at the University with evidence of having successfully guided PG/doctoral students and research scholars will be eligible for consideration of promotion to Professor subject to their fulfilment of the other conditions as mentioned above.

➤ **Promotion from Professor to Senior Professor:**

A Professor on successful completion of 10 (ten) years of service as Professor will be eligible for consideration of promotion to Senior Professor after fulfillment of the **requirements** as prescribed by the competent authority of the university and notified from time to time.

Recognition of Past Service:

To consider the **past service** of an Assistant Professor or Associate Professor or Professor



for promotion in AdtU, the concerned candidate must not have any break of service in the earlier employment. The candidate's past experience will be counted for promotion to the next grade in AdtU provided

- The earlier post is of equivalent grade/scale of pay for a particular post (Assistant Professor/ Associate Professor/ Professor)
- Eligibility for the earlier post was not lower than prescribed by UGC.
- The concerned candidate must fulfil the prescribed eligibility criteria
- His/her earlier appointment was not on ad hoc basis or in a temporary vacancy of less than one year.
- If ad hoc, the ad hoc appointment should be for more than a year.
- He/she must have been appointed on recommendation of a duly constituted selection committee.
- The incumbent was selected to the regular post in continuation of previous ad hoc appointment.
-

a) Training and Development

The training programme shall be categorized as:

- **Induction training:** Induction for a newly recruited employee is given by the HR department in coordination with the Registrar Office, IT Office, Controller of Examination and Counselling office. New employees shall be briefed, among other things, on relevant areas during the induction training.
- **Faculty development programme:** It includes training through external faculty based on the specific need identified by the concerned Faculty. The HR Department shall, in consultation with IQSA, identify the training needs of staff and bring out a training calendar for the year. The HR Department arrange all the necessary logistic support for the training programme. HR shall maintain records of all specialised training programme.

General

- 1) HR Department will ensure the full details of the training programme for the employee are sent to the concerned Dean's well before the commencement of the programme.
- 2) Re-training may be organised, for employees whose fails to attend the training programme.

Training report/summary:

HR Department maintain records of all the training programmes organised which have information on topics covered, training methodology, list of participants and faculty. Wherever appropriate, feedback report and evaluation of participants shall also be maintained.



CHAPTER 6 – WORKPLACE POLICIES & BENEFITS

I. Work Hours and Breaks

The work timings and schedule for both the teaching staff and non-teaching staff is the same i.e. from 08:45 am to 4:30 pm. The institute follows the academic calendar and works six working days i.e. Monday to Saturday. However, faculty member gets off on the first and third Saturdays of each month, with the exception of when students are undergoing exams. The staff lunch hour is between 1:00pm and 2:00 pm. During the duty hours no employee shall leave his/her place without seeking prior permission of the concerned head or authority.

II. Anti- Harassment Policy & Grievance Redressal Mechanism

The University is committed to providing a productive and conducive work environment where grievances are dealt fairly and promptly. It aims to facilitate a work culture where no grievances exist as it will help in improving the performance and productivity of the staff and faculty members. Internal Complaints Committee

What is the Procedure to File a Complaint with the Committee?

The POSH Act has kept a lot of flexibility when it comes to filing a complaint and does not prescribe any particular format for it.

Who can file a Complaint?

The complaint can be filed by the following persons:

- The aggrieved woman herself.
- In the case of Physical Incapacity: Complainant's Relative, Complainant's Friend, Co-Worker, Officer of NCW or SCW, or Any person who has knowledge of the incident with the written consent of the Complainant.
- In case of Mental Incapacity: Complainant's Relative, Complainant's Friend, Special Educator, Qualified Psychiatrist/Psychologist, Guardian/ Authority under whose care the complainant is receiving treatment/care or Any person with the knowledge of the incident, jointly with any person mentioned above.
- In Case of Complainant's Death: Any person having the knowledge of the incident with the written consent of the Legal heir.
- In Case of Complainant is unable to file the Complaint about any other reason: By any person who has the knowledge of the incident with the written consent of the Complainant.

Specified Time Period

The POSH Act lays down specific guidelines about the timeline for a complaint of such sexual harassment cases and specifies that it can be filed within 3 months from the date of the incident. In case it is not a single but a series of incidents, then the complaint needs to be filed within 3 months from the date of the last incident. The POSH Act further provides that the time period of 3 months may be extended by the Committee after recording the reasons for doing so.

Other Requirements

1. Three copies of the complaint are to be filed
2. Supporting documents and evidence, details of witnesses
3. Details of the incident
4. Details of respondent



The written complaint should contain a description of each incident(s) & must include:

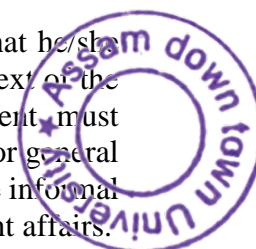
- Relevant Date/s
- Timing/s & Location/s
- Name of Respondent/s
- The working relationship between the parties

Internal Complaint Committee Members:

S.L	Name	Designation
1	Prof. Bandana Dutta, Dean of Studies	Chairperson
2	Ms. Gariasi Dutta, Resident Trustee	Member
3	Ms. Anubhuti Das, Psychological Counsellor	Members Secretary
4	Mrs. Yugabrata Dutta, NGO-Member	External expert
5	Ms. Monika Bora, Manager, HR	Member
6	Mr. Ningthem Mangsatabam, Legal Officer	Member
7	Prof. Manashi Sengupta, Dean, Faculty of Nursing	Member
8	Dr. Anita Dakua, Associate Professor, Department of Paramedical Sciences	Member
9	Dr. Prateeti Barman, Dean, Faculty of Humanities and social Sciences	Member
10	Mr. Ashim Barman, Additional Registrar (Administration)	Member
11	Ms. Deepali Borthakur, Assistant Director, IQAC	Member

III. Grievance Redressal System

- i. **Informal Complaint:** This may be an issue defined as an academic or non-academic issue that a student has with a Faculty/Instructor, Staff Member, Administrator, Mentor or Program Coordinators etc. of the University.
- ii. **Non-Academic Grievance:** The type of issue raised, when a student believes that he/she has been dealt in unfair manner, which also violate established rules, policies or procedures of the University as a whole or any unit or agency or function thereof and in a manner that has caused actual harm to the student.
- iii. **Academic Grievance:** An issue when raised by a student believing that he/she has been harmed by being treating in an unfair manner within the context of the course/program. In order to file an academic grievance, the student must demonstrate actual harm. However, for rude treatment classroom style or general grading policies liking & disliking an instructor, the student may use the informal complaint process and discuss with the Dean of Faculty/ Dean of student affairs.



- iv. **Complainant/Grievant:** A complainant/grievant is an individual who raise an issue or believes his/her rights have been violated.
- v. **Respondent:** A respondent is an authority/Committee/Officer/Dean/Teachers/Office Staff who receives, discuss and solve the matter.
- vi. **Appellant:** An individual who is filing an appeal.
- vii. **Appeal:** The solution against an issue or academic and/or non-academic grievance may be appealed. Appeals must be based on the issue of substantive or procedural errors which are prejudicial to impartial consideration of the case.
- viii. **Confidentiality:** It is understood that committee members, faculty, staff and administrators involved in the discussion of complaints or grievances will maintain professional standards of confidentiality.

A Grievance Petition must be in writing and contain:

- The grievant(s)'s name, student identification number (if applicable), and contact information, including email address
- The name(s) of the respondent(s)
- A detailed description of the nature of the grievance and the actual harm suffered by the student.
- A detailed description of attempts at informal resolution
- A detailed description of the relief sought
- Signature of complainant (s)
- Date of grievance submission

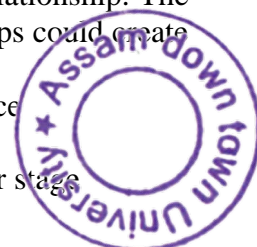
General instructions:

- i. No appeal shall be allowed unless the appellant cites specifically to the grievance record and states with specificity the grounds under which the appeal shall be allowed.
 - ii. Any appeal submitted that does not include the required information will be dismissed without review.
 - iii. The University Grievance Committee shall be responsible for reviewing substantive or procedural appeals from the decision of a dean or university administrator.
 - iv. Decisions of the University Grievance Committee/Vice Chancellor are final. There is no further appeal within the student Grievance procedures policy.
1. This policy is not entitled for sexual abuse harassment, assault, misconduct a discrimination. Such complaints or grievance shall be handed by Special Committee for the purpose.

IV Employee relations

This policy recognizes that employees who work together may get involved in a relationship. The University does not prohibit such relationships but emphasizes that such relationships could create a conflict of interest and if not addressed may: -

- Adversely impact colleagues & students by creating perceptions of bias & prejudice
- Create conflicting loyalties and breach of confidentiality
- Put University's reputation at risk including claims of Sexual Harassment at a later stage
- Impact the professional decorum that needs to be maintained at the workplace



All employees, especially those in senior roles and with influence over others' terms & conditions of employment are subject to stringent requirements under this policy due to their status as role models, their access to sensitive information, their ability to affect the terms & conditions of employment of individuals in subordinate positions in the same hierarchy as well as in other functions. Any such matter should be brought to the notice of the HR immediately.



CHAPTER 7- RESEARCH AND DEVELOPMENT

I. RESEARCH POLICY

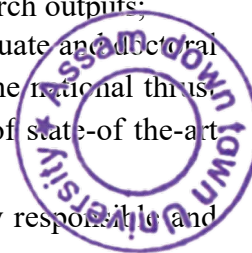
1.1. Scope/ Applicability of the Policy

This document on Assam down town University Research Policy Guidelines will be applicable to all AdtU faculty, staff and students involved in any form of research activity. . This policy includes a set of guidelines for conduction of research activities at all levels and is applicable to all full- time, part-time as well as contractual employees of the University and all students, whether full-time or part-time, of the University who may be involved in any form of research activity.

- **Rationale** - The research policy is to ensure that individual researchers are free to select their area of research and to seek support from other Faculty of Studies in AdtU or outside too support for their work. They also have freedom to form their own opinion, theories, explanations, findings in their research report based on which they draw their conclusions. It is important to emphasize that all research reports and publications arising out of AdtU research must carry the correct affiliation (Assam down town University) in the credit/ad dress part in the published versions as books, research papers, book chapters, articles, and on-line or off-line reports.

University Research Policy does not permit use of a research or survey methodology or technique that is in violation of professional ethics pertaining to the health, safety, privacy, and other personal rights of human subjects or to the infliction of injury or pain on animals and living organism. The AdtU allocates lab, library, design table and drawing and sculpting board spaces and facilities, and other resources such as its own funds to match with that of the funding agencies for research Programmes depending on the merits of the research proposals.

- **Research Objectives** - AdtU also encourages its faculty and staff to involve in research activities through their primary commitment to engaging in teaching, research, industry connects, and other support activities that are consonant with the values of the University. In addition, to advance AdtU research and collaboration, it is apt and often desirable for faculty members to participate in both government-funded and private activities beyond. All research activities should be undertaken in compliance of the University Research policies. AdtU's research objectives are given as follows:
 - Establish research as an integral part of the University's activities;
 - Retain and improve the quality of research undertaken;
 - Bring in maximum possible funding support for research from external sources;
 - Create transparent, effective and efficient systems for maximizing research outputs;
 - Integrate research activities undertaken by the undergraduate, post-graduate and doctoral students with the research focus of the University in alignment with the national thrust areas; Create, maintain and enhance infrastructure to enable conduct of state-of-the-art research.
 - Provide a framework for conduct of research in a transparent, socially responsible and ethical manner.
 - Ensure a facilitating environment for conduct of high-quality original research by all



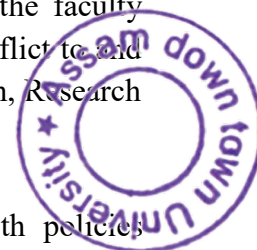
individuals affiliated with the University and provide continued and effective support for pursuit of research activities;

- Translate new knowledge, innovations, technologies and tools emerging out of research conducted at Amity into products and processes for commercialization or for societal benefit;
- Protect Intellectual Property (IP) generated as a result of research conducted at Amity
- Integrate research activities undertaken by the students with the research focus of the University;
- Create a rational, transparent and efficient system for management of all research processes;
- Encourage and facilitate research collaborations within different Institutes of the University along with reputed Institutes, Universities and Research Organizations both in India and abroad;
- Ensure effective dissemination of research activities and achievements of the University both internally and externally; and
- Enhance the research profile of the University by effective dissemination of research activities and achievements of the University at all levels to maximize the impact and recognition of research done at AdtU at national and international levels

The overall research at AdtU will be managed by the Research Cell of AdtU. The Research Co-ordination Committee will co-ordinate all research activities of the University.

1.2 Research Overview: Rights & Responsibilities

- It is expected that faculty and Project Investigators (PIS) will conduct their affairs so as to avoid or minimize such conflicts of interest, and should there be any actual, potential or perceived conflicts between one's private beliefs and interests and her/his professional obligations to AdtU, such matters should be properly and promptly revealed by the Faculty, Staff and PIs to the University administration so as to resolve any issues before engaging in research, development and innovation activities.
- AdtU Research Policies should be able to help all faculty and researchers in deciding as to what extent their individual and group activities may conflict with the faculty's primary commitment to teaching, research and other responsibilities in the ADTU to educate faculty, research staff and Primary Investigators about situations that generate the potential for conflicts of interest or conflicts of commitment; to clarify expectations about disclosing such interests and activities that might result in conflicts to identify means to manage, reduce or eliminate such conflicts and finally to promote the best interests of students and others whose work depends on the direction of our faculty and
- If a faculty member, research staff or Investigator has a query or a question about whether an activity is permitted under the University Research Policy, the faculty member or Investigator should disclose the potential or appearance of conflict to and seek guidance from his or her Dean of the faculty, or the Office of the Dean, Research and Innovation.
- Individual Faculty of Studies may wish to supplement this policy with policies applicable to their faculty and/or Investigators, because there could be differences in



the minute details as per the areas of research. To ensure consistency with the AdtU policies, such policies must be approved by the Vice Chancellor.

- Faculty members have the right to disseminate the results and findings of their individual or collaborative research without suppression or modification from external sponsors beyond the specific undertakings or provisions that may be written down and agreed upon by the sponsoring agencies, Universities and researchers.
- The Faculty and Researchers could also engage in external consulting activities, subject to the University's rules, regulations and limitations. A separate section on Consultancy Policy is included in this document to facilitate this activity. But it is important that faculty adhere to both the spirit and the letter of the policy. Along with these freedoms come corresponding responsibilities.

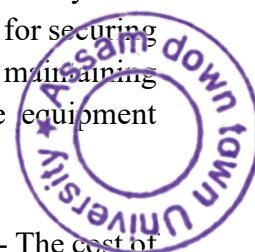
1.3 Responsibilities of Researchers

- **Responsibilities of Faculty to Both Staff and Students** Faculty members must be aware of their obligations to staff and students working as part of the research team. It is particularly important that at least annually, each faculty member should review intellectual and tangible property rights and responsibilities (for management of data in all media, for proper authorship attribution, etc.), with all members of the group under his or her direction, including staff, students, postdocs, and visiting scholars. Each member has the right to know who is sponsoring the research and supporting his or her salary or stipend because AdtU believes in academic transparency.
- **Health and Safety-** Each faculty member is responsible for advising and helping members of his or her team in appropriate health, insurance and safety procedures that must be taken to work in a particular area of research, and for management of those procedures in his or her office or laboratory, studio or other workplaces.
- **Consulting by External Academic Staff- Research Personnel** The members of the academic staff or research personnel may be allowed to engage in outside consulting activities under conditions outlined in the Clauses under Conflict of Commitment and Interest for Academic Staff and Other Teaching Staff.

1.4 Responsibilities to Sponsors -Although the legal agreement funding a sponsored project is between the sponsor or sponsoring/funding agency and the AdtU, the overall responsibility for management of a particular project within funding limitations rests with the PL.

1.5 Responsibility for Research Equipment The control, upkeep and record-keeping of both ADTU funded and Government-owned equipment is mandatory under the university rules as well as under the externally funded contracts and grants. PIs are responsible for securing necessary approvals for the purchase of the equipment, proper tagging, and maintaining inventory, utilization of equipment and peripherals, and disposal once the equipment becomes either obsolete or dysfunctional and irreparable or is in excess.

1.6 Preparation of Proposals and Application for Extensions or Continuation - The cost of proposal preparation activities in support of new directions in research or for continuation



of the projects could be charged to existing or sponsored projects. It could perhaps come from the earlier project overheads deducted by the University. The cost of proposal preparation efforts for continuing research is appropriately charged to current projects.

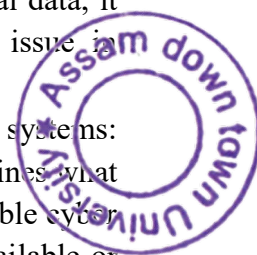
1.7 Utilization Certificates (UCs) and Statement of Salaries under Projects -All funded projects and their costs or accounts must be reviewed and certified by the PI quarterly. Further, certification of salaries charged to sponsored projects are also to be issued to the staff after ensuring that they correspond to efforts expended on those projects by them.

2. Grievance Procedures - The grievance procedures outlined elsewhere in the University Policy documents will be followed for the research projects as well. These procedures are designed to assure that decisions by faculty members and administrators comply with the standards of academic freedom granted to all faculty and PIs. There must be some administrative remedies for faculty or research staff grievances covered by parallel rights established under the laws of the land.

- The rights herein conferred shall be enforceable only by a person who is directly aggrieved and who holds a faculty or research position; no other person or persons could complain on her/his behalf.
- If any faculty member feels aggrieved by a decision that she or he believes to be in violation of this guidelines and rules, he or she may file a grievance pursuant to the Statement on Faculty Grievance Procedures and its attendant standing rules.
- For grievances brought in whole or in part for alleged violation of the Statement on Academic Freedom, the rules and procedures of the Statement on Faculty Grievance Procedures shall be modified as required. For a grievance not arising out of a negative decision on appointment, reappointment or promotion, the grievance and appeal structure shall rest on the authorities of the University.

3. The Requirement of Secrecy & Security

- A research project or Programme may, at times, require secrecy for various reasons either because of governmental/funding body restrictions, or because of patent requirements. If any part of the sponsoring or granting documents that establish the project is not freely publishable, or if there is a reasonable basis for expectation that any documents to be generated in the course of the research project will be subjected by an outside sponsor to restrictions on publication, the funding agency or the sponsor can ascertain whether information he or she is entitled to have treated as confidential would be disclosed by publication or not. If access is required in the course of the project to confidential data, it will be up to the Pro-Vice-Chancellor and Dean, Academics to resolve the issue in consultation with the Dean/Director/Head and the PI.
- Four principles guide the security practices and guidelines for research computing systems: safety, confidentiality, integrity, and availability. Safety is important because it defines what imposed security measures are taken to prevent any unauthorized use or any possible cyber attack by others. Confidentiality is the property that information is not made available or disclosed to unauthorized individuals, entities, or processes. Research systems and procedures should be chosen or designed to maintain the integrity of the data they store and to detect modification. Availability means that the system and its data can be used and accessed by authorized users when needed.



4. Confidentiality Clause- If an external agency private or governmental, or any outside person or entity/group has made available to the investigator certain confidential information, provision may be made to preserve confidentiality and/or a short delay in the publication of research results during which time the information source may examine the proposed publication in order to assure that the investigator has not disclosed, intentionally or unintentionally, any portion of the confidential information supplied by them.

5. Use of Private Papers, Documents, Diaries or Analogous Materials

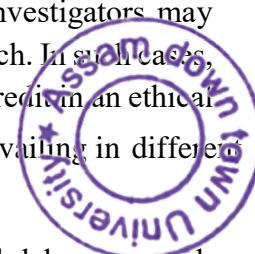
If, in a research project certain private papers, deeds, documents, daily journals, diaries, emails, personal communications, or blogs and similar materials have been provided to the investigator, provision must be made to preserve the confidentiality of those materials for the purpose of protecting the privacy of the supplier of information or the author, or her/his inheritors.

6. Review of General Principles

The General Policies shall be reviewed by the University Research Committee annually based on the experiences gained from the projects and Programme undertaken. A proposal to that effect could be made by the PIs or Institute Directors and Deans in one of its meetings. This meeting and others primarily devoted to considering a revision of research policy shall be announced widely to all faculty by e-mail inviting suggestions on specific issues by the staff of the Pro-Vice-Chancellor and Dean, Academic. Changes, if any, arising out of such meetings will be added by notification and in the newer drafts of the University Research Policy documents.

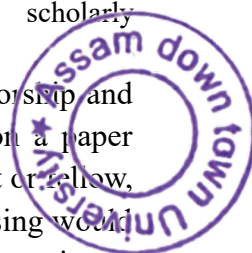
7. Authorship & Related Issues

- In the normal instances, the PI will decide on the sequences of names in any research publication arising out of a project work. The ADTU does not want to impose a university guideline to define "significant intellectual contribution" or impose formal mechanisms for determining authorship. The authorship rights and responsibilities of faculty, staff and students are a matter to be resolved within the group by the PI.
- It is realized that as times go by, there will be change of patterns of research lab or research group composition. Under a large lab or facility, where there may be a general head or director(s), there may often exist smaller research clusters that may produce exciting ideas, products, research papers, but may pose a problem for the allocation of credit and responsibility. In some disciplines it is quite customary for graduate students to publish their own research results by themselves, even when their work involves fairly close supervision by a faculty member and in others; the professor's name goes on virtually every paper produced in the laboratory.
- At times, increased administrative burdens on the designated principal investigators may also contribute to decreasing time available for active participation in research. In such cases, the PIs, Heads, Directors or Deans are expected to decide on allocation of credit in an ethical manner so as not to make it complex. It is realized that the customs prevailing in different fields may show differences in this respect.
- It is not necessary that for each such publication all members of a research lab or research group will be given credit. But giving credit where it is due should be done, even if it is a



small point or a personal communication, in which case 'Colophon' or a Footnote/Endnote would suffice. A number of questions about authorship and intellectual "ownership" of the research paper draft may arise as to what level of contribution by different parties to a research enterprise has been which could qualify them for (co) authorship of the final product. What the norm would be for independent or first publication or to the use of data in another publication or project are also important questions. It is also understood that initial assumptions may well change as the course of research progresses. Even at its beginning, it is often difficult to trace the source of the ideas and insights from which a research project originates; it is hard to say what was identifiably generated by one individual and what was "in the air" in the intellectual domain. By the time a project is over, the original conception or the germinal idea may not be central any more. The more interactive the process, the less we can retrospectively divide the work into parts corresponding to particular roles or contributions.

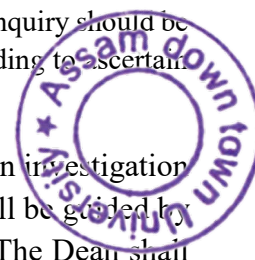
- In cases where complaints and disagreements arise between students (postdoctoral, graduate, and undergraduate) and their faculty over credit for work to which both may have contributed, the Deans and Directors concerned may decide at their level. In doubt or dispute, the University Research Committee could provide guidance with respect to credit for scholarly work where several research staff and faculty are involved with or under a PI. This is only when it becomes difficult to determine responsibility of authorship.
- The heterogeneity of custom that varies from one discipline to another may sometimes makes it very difficult to decide, in disagreements like the one between S and P, whether we are dealing with professional misconduct (the wrongful appropriation of another's intellectual product) or whether we are in a domain of ethical judgments about the proper allocation of credit between joint researchers - judgments so close that they should be resolved by personal values, etiquette, and generosity, rather than by a faculty disciplinary process. Another aspect of the issue is as to who may publish first, who must consent, what connections with the work need be acknowledged and how is associated particularly with review articles, books (or chapters of books), or symposium contributions, especially "state of the discipline" pieces. Opportunities to produce more comprehensive works of this kind come mainly to senior scholars. In describing the significant developments in one's field, there is a natural tendency to include work done by oneself and one's students and junior associates. In the usual case, the scope of the topic is broad enough so that including all associates as co-authors is impractical. Where the piece deals with data or results of others that are already published as a paper or dissertation, or have been accepted for publication, employing them with appropriate citation is obviously proper. If the material is yet unpublished but will be issued as a joint work, is generally accepted that any of its prospective co-authors may refer to it, even at length, in a separate work of sole authorship provided that its joint origin is prominently acknowledged and provided that the opportunity for regular scholarly publication is not pre-empted.
 - It must also be pointed out that there is a tight coupling between authorship and responsibility. If the name of a faculty member has been included on a paper resulting from the relatively independent experiments done by a student or fellow, any error in the data or wrong methodology of data collection or accessing would also be the responsibility of the concerned faculty. 5.8. Lastly, multi-investigator research teams differ significantly from the individual faculty/graduate student research teams, and it may also be the case that at times, there is no single person



who understands the entire gamut of a given research. The general principle for scholarly manuscripts emanating from multi-investigator research is as follows: First, the Principal investigators and senior faculty have special responsibilities to assure the overall cohesiveness and validity of the concerned draft publication. Secondly, all authors in a group effort have a shared responsibility for the published result and should have the opportunity to review all sample preparation procedures and data, as well as all data acquisition and analysis procedures. Thirdly, each author in a group should have access to the manuscript prior to its being submitted for publication, and should agree to his or her inclusion as a co-author. All the participants in the Programme should know that the paper is being prepared for publication.

8. Research method

- The provisions under this heading namely, 'Research Misconduct' deals with the procedures to be followed in the event of Allegations, Counter-Allegations, Investigations, and Reporting of any actual or perceived misconduct, for which the required notifications to the funding agencies may also have to be sent. There is no doubt that each member of the University, whether faculty or administrator or research staff, or technical personnel and students, has a responsibility to foster an academic environment conducive to free and fair research. Therefore, research misconduct can be extremely troubling- even if it is raised infrequently.
- AdtU definition of research misconduct, and procedures for investigating and reporting allegations of misconduct, will conform to the regulations of the governmental and other funding agencies which may have some elaborate policies on this subject. These will be applicable to the research proposed as well as to the research conducted or reported at. "Research misconduct" is defined as fabrication (making up data or results, and recording or reporting them), falsification (manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented), or plagiarism (appropriation of another person's ideas, processes, results, or words without giving appropriate credit) in proposing, performing, or reviewing research, or in reporting research results.
- If the misconduct is committed intentionally, or knowingly, and if the allegation is proven by the University Research Committee or any of its sub-committees set up to look into such allegations, even instances of failure to supervise adequately, and other lapses from professional conduct or neglect of academic duties could come under its purview. Findings (with respect to research misconduct) of serious academic deficiencies are to be addressed by the concerned Dean, or by the Director, initiating the relevant disciplinary processes, as may be deemed appropriate. A proper inquiry should be held based on preliminary information gathered and preliminary fact-finding to ascertain the merit of the case.
- The outcome of an inquiry is a determination as to whether or not an investigation is to be conducted. Where a formal investigation is warranted, it will be guided by the CCS procedure of the Government of India's Service Manual. The Dean shall inform the funding source(s), see that the proper charge-sheets are issued, obtain preliminary replies, and conduct such inquiries or investigations having taken all

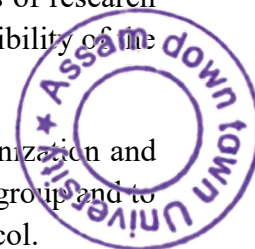


reasonable and practical steps to obtain custody of the research records and/or evidence needed to conduct the misconduct proceeding, inventory the records and evidence, and requisition them in an appropriate manner. Before the inquiry begins, the Charged Individual (hereafter "the respondent") shall be informed of the allegations, and be invited to comment on them. Finally, the respondent shall also be provided with a copy of the draft report of the inquiry, and be given an opportunity to comment on the findings for the consideration of those conducting the inquiry. In so doing, best efforts shall be made (where feasible) to protect the confidence of the individual(s) who brought forward the complaint (hereafter "the complainant(s)"). The relevant individuals, including the complainant(s) should be interviewed in the presence of the charged individual by a committee.

- Based on the final report consisting of recommendation as to whether or not a full investigation is warranted, is to be submitted by the school dean to the Pro-Vice-Chancellor and Dean, Academic within 60 days of receipt of the allegations. The Faculty/School Deans are advised to review current regulations agencies should be involved. The funding agencies will be notified of the outcome of an inquiry involving funds from their agency only if that outcome includes the recommendation to conduct a full and requirements, and to consult with the Pro-VC's office who would decide how and when the funding investigation.
- The funding agencies must be apprised of an interim report until the final report is ready. They may be sent a Special Emergency Notifications, in case it is seen that an immediate health hazard will break out otherwise, or if it is required to protect Governmental or University funds or equipment, or for the sake of integrity of the research, or if there is a suspicion that there may be a possible criminal activity.

8. Retention of and Access to Research Data

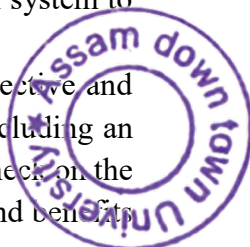
- It will be ensured by the Deans and the PIs that research data is appropriately recorded, archived for a reasonable period of time, and available for review under the appropriate circumstances as may be decided by the URC. This is because accurate and appropriate records are an essential component of any research project.
- Both the University and the PI have responsibilities and rights concerning access to, use of, and maintenance of original research data, except where precluded by the specific terms of sponsorship or other agreements, tangible research property, including the scientific data and other records of research conducted under the auspices of ADTU belongs to this University.
- The PI is responsible for the maintenance and retention of research data that may be necessary for the reconstruction and evaluation of reported results of research and the events and processes leading to those results. It is the responsibility of the PI to determine what needs to be retained under this policy.
- For all projects, the PIs should adopt an orderly system of data organization and should communicate the chosen system to all members of a research group and to the appropriate administrative personnel as a matter of research protocol.



- Research data must be archived for a minimum of three years after the final project close-out, with original data retained wherever possible at least in the Cloud Servers. In addition, Data may have to be kept for as long as may be necessary to protect any intellectual property resulting from the work.
- To avoid any possible allegations of scientific misconduct or conflict of interest, data must be retained until such issues are fully resolved.
- Wherever students are involved, data must be retained at least until the degree is awarded or until it is clear that the students have abandoned the work. Beyond this usual period of retention as specified, the destruction of the research record is at the discretion of the PI and his or her department or laboratory.
- Wherever research is funded by an agency outside the ADTU which may have or which impose certain specific provision(s) regarding ownership, retention of and access to technical data, the provision(s) of that agreement will supersede this policy. Otherwise, the scientific record for projects conducted at the ADTU and/or with university resources are its own resource.
- Wherever or whenever necessary, the Pro-Vice-Chancellor and Dean, Academics may direct the PI to assure needed and appropriate access to the data to other faculty members for advanced research.
- Further, when individuals involved in research projects at ADTU join other universities or institutions, they may be allowed by the PI/Deans concerned to take copies of research data for projects on which they have worked but not necessarily all data or associated records. All such requests have to be approved by the Pro-Vice-chancellor and Dean, Academics.
- If a PI leaves ADTU, and a project is to be moved to another institution as per the agreement with the funding agency, ownership of the data may be transferred with the approval of the Pro-Vice Chancellor and Dean Academics, based on a written request from an agreement with the PI's new institution that would guarantee acceptance of custody of the data so transferred, and grant access to other ADTU faculty in future to the same.

9. Human Subjects and Scientific Research

- This section elaborates on the policy to give comprehensive information about the organization and focus of the human subject-based research protection Programme at the ADTU. In these matters, the PIs and the University has to comply with the applicable laws of the land. All members of the ADTU who may like to be involved in any research in sciences or social science/humanities involving human subjects must be knowledgeable about these laws and their requirements. The primary responsibility in this respect lies with the PI so that there is an institutional system to protect human subjects.
- The URC or the Executive Committee of the URC should perform prospective and continuing review of each research protocol involving human subjects, including an evaluation of its risks and benefits to the human subjects. They must also check on the informed consent document, particularly as to its description of the risks and benefits



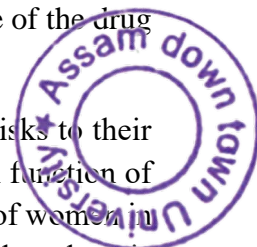
as well as consider any unanticipated problems, possible noncompliance, and other information and incidents that might affect this research protocol. From time to time, the concerned Deans should also organize training for all investigators, research staff, and students in the laws and provisions of use of human subjects in research.

- Anyone who knows that, or has reason to believe that human research is being conducted in an unethical manner or not in compliance with the laws must report the matter promptly to the Dean Academics of ADTU. Where appropriate, sanctions will be considered and imposed. Non-compliance, protocol deviations, and violations are dealt with by the URC and University administration strictly. These may in extreme cases, result in administrative, civil, or criminal penalties against the concerned individuals and the organizations, including termination of employment, contract, or other relationships.
- There are number of laws governing clinical research in India. These include the following, and ADTU would like all PIs to adhere to these laws and regulations:
 - Drugs and Cosmetics Act 1940
 - Medical Council of India Act - 1956 (amended in 2002)
 - Central Council for Indian Medicine Act 1970
 - Guidelines for Exchange of Biological Material (MOH order, 1997)
 - The Biomedical Research on Human Subjects (regulation, control and safeguards) Bill – 2005

10. **Women as Subjects in Research**

- Historically, there have been concerns about the participation of women with childbearing potential in research trials due to potential risks of fatal harm should a woman become pregnant. Such apprehension has resulted in guidelines created by different wings of the Government of India dealing with Women and Child Welfare Ministry as well as by the National Women's Commission. 9.1.2. Over the past decade, questions have been raised by professional, consumer, and governmental groups about whether clinical treatments are adequately tested in various populations that are the recipients of such therapies. In terms of drug development, there are now WHO-verified information available pertaining to the safety and effectiveness of drugs for women and subpopulations such as the elderly and diverse racial groups. It detailed procedures to minimize the risks of pregnancy in women participants such as contraceptive counselling, pregnancy tests, timing of short term studies in relation to the menstrual cycle, and the process of informed consent. It also calls for gender analyses with special attention to factors affecting pharmacokinetics, e.g. the role of the menstrual cycle and exogenous hormone therapy in relation to the drug, as well as the influence of the drug on oral contraceptives.

It is expected that experimental subjects will be informed about potential risks to their fertility including the development of any abnormalities or abnormalities in function of reproductive organs as a consequence of the proposed study. The inclusion of women in behavioural research studies is also important and must be accomplished unless there is a compelling rationale which establishes that inclusion is inappropriate with respect to



the health of the subjects or the purpose of the research. The general policy in this respect would be as follows: "No pregnant woman may be involved as a subject in a human clinical research project unless

- (1) The purpose of the research is to meet the health needs of the mother and the foetus will be placed at risk only to the minimum extent necessary to meet such needs, or
- (2) The risk to the foetus is minimal.

{Research involving the use of pregnant women as subjects} may be conducted only if the mother and father are legally competent and have given their informed consent after having been fully informed regarding possible impact on the fetus, except that the father's informed consent need not be secured if (1) the purpose of the research is to meet the health needs of the mother; (2) his identity or whereabouts cannot reasonably be ascertained; (3) he is not reasonably available; or (4) the pregnancy resulted from rape."

In order to make clinical data and reports available to all, an online clinical registry has been initiated by the Indian Council of Medical Research (ICMR) for the registration of any interventional trial to ensure the following goals:

- Transparency and accountability of clinical research
Internal validity of clinical trials
- To oversee the ethical conduct of clinical trials Reporting of results of clinical trials

11. Animals as Laboratory Subjects –

Animals are frequently used in both exploratory/curiosity-based studies and in serious academic research, especially in drug testing and for commercial products, although in general, using animals in such experiments is both unethical and unnecessary.

In 2003, the Pharmacy Council of India (PCI) issued a directive to all pharmacy schools in India to use CAL software in place of classroom animal experiments. Further, in 2011, the University Grants Commission issued guidelines to phase out dissection of and experimentation on live animals in zoology and life science courses.

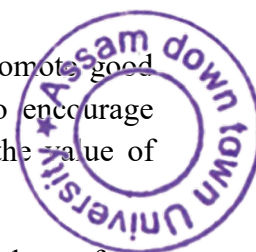
The Ministry of Environment and Forests, Government of India has also come up with "The Prevention of Cruelty to Animals Act, 1960." Animals in laboratories endure lives of deprivation, isolation, stress, trauma and depression even before they are enrolled in any sort of protocol which ADTU considers to be wholly undesirable.

12. Environmental Health and Safety

The University Research Committee on Health and Safety is charged with the responsibility of exercising oversight over all health and safety Programme at the ADTU and ensure that adequate health and safety measures have been taken in designing and executing scientific and technological experiments.

If required, URC will also recommend needs, priorities and strategies to promote good health, safety, and environmental practices on campus. The URC will also encourage workshops and awareness Programme to make all concerned understands the value of operational responsibility for health and safety.

Each year, one meeting of the URC could be publicized and open to all members of the



University community and its residents to point out any measures that would enhance environmental health and safety of the campus. In particular, nothing should be done which could affect the health and safety of lab personnel, laboratory subjects, employees, students, the general public, and the environment.

This also applies to potential hazards of chemicals to which the students, staff or campus residents and visitors may come in contact in the workplace or laboratory. The URC may also issue a Chemical Hygiene Plan (CHP) for the procedures, equipment, personal protective equipment, and work practices so that the laboratory personnel could be protected from potential health hazards of using certain chemicals and radio-active systems in the laboratory.

13.Export Controls

"Export" here means to send or take controlled tangible items, software, or information out of the country in any manner including in hand luggage, to transfer ownership or control of controlled tangible items, software or information to a foreign person, or to disclose information about controlled items, software or information to a foreign government or foreign person. Such tangible item, software or information being sent or taken out are referred to as Export. Under this would come "Re-export" too, which will mean an actual shipment or transmission of controlled tangible items, software or information from one foreign country to another foreign country. Also, technically, "Deemed export" is a term used to describe the situation where a foreign national on our campus may be exposed to, or have access in any manner to, an export-controlled item or export-controlled software or information. This is because sharing confidential technical information or software source code with foreign nationals wherever located may not be encouraged.

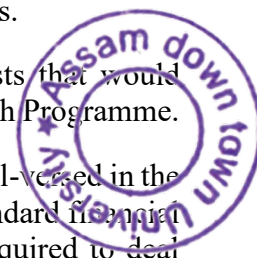
Our primary concern at the ADTU are transactions involving proprietary or confidential export- controlled information provided to ADTU Researchers or Research group by third parties, such as corporate vendors, subcontractors, or government collaborators. These may generate disclosure restrictions that may only be acceptable if they fall within the narrow exceptions provided by the Openness in Research Policy and qualify for treatment under an exemption or license exception (EAR) in the Indian export control regulations

In the case of international shipments of tangible items, or the export or deemed export of 3rd party export-controlled software code or information to foreign countries or their nationals, ADTU and the concerned PI has the responsibility to either to obtain an export license, and show that an exception to export licensing requirements applies in the given case.

14. Degree-Oriented Research - A separate Doctoral Research Policy exists which includes Pre-Doctoral and/or M. Phil Research as well as post-doctoral research policies.

15.MoU's for Research Collaborations- A separate Policy Document exists that would cover such MoM's or MoU's which ADTU enters into for collaborative research Programme.

16.Financial Responsibilities for Sponsored Research- All PIS should be well-versed in the GFR (General Financial Rules) of the Government of India offices and the standard financial practices including accounting procedures based on which they would be required to deal with the Finance & Accounts Office of ADTU to conduct research work. Wherever except are required, specific approval on file/-e-mail must be obtained from the University



administration.

II. Consultancy policy and procedure

The Consultancy Policy document of AdtU is an endeavour to include conditions/provisions, in exhaustive manner, in order to facilitate the employees to offer their professional services to clients outside the jurisdiction of AdtU i.e. Govt. Organizations, Public and Private sector Organizations, large as well as small industries and any other social agencies/ organizations. It is a means through which the human resources of the University make available their tacit knowledge and skill to government, private & public sector, organizations and any other social institutions. Such activity in turn benefits the institution in terms of additional income, opportunities for collaboration and enrichment of knowledge and experience besides enhanced reputation of the University. There is a consultancy service team of the University to facilitate the Consultancy activities of the University employees.

i. Organization structure & role of the Consultancy service team.

The Consultancy service team is comprised of Managing Trustee, VC, Pro VC, Dean/ HOD, Director, Quality & Process

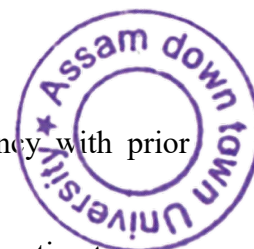
The role of the consulting service team involves.

- Agreeing Commercial rates.
- Negotiating the terms and condition of consulting agreement.
- Assisting with internal procedure.
- Managing the project where appropriate.
- Involving the external resource person and chasing debt.
- Paying the individual consultant
- Defend the staff/ employees in the event of a claim against the employee, provided they have lawfully, and diligently endeavored to carry out the work.
- To ensure that the proposed consultancy will not create a conflict of interest with their work at the University.

i. Framework for Undertaking Consultancy

Any divisional Head/ HoD/ Faculty is at liberty to generate consultancy with prior approval of consulting service team.

If a head of the department/ faculty is approached by an outside client requesting to carry out a consultancy by the department (or members thereof), the concerned head/ faculty should prepare a proposal incorporating the methodology and all terms and conditions and get it approved by the consulting team. In case of requirement of interdisciplinary team, the name of other team members also should be incorporated in the proposal. The consulting service team will make the necessary contractual agreement for such



consultancy assignment.

ii. Cost Estimation & sharing of proceeds.

The Consultancy cost estimation form is designed and enclosed as Annexure A. One Assignment registrar is opened and details pertaining to professional fee, amount received, amount due, No. of days utilized, all expenses pertaining to the assignment must be incorporated till closing of the assignment, in the assignment registrar. Separate file may be opened for each assignment and the cost estimation form, bills and sanctions relating to the assignment may be processed and kept in that file.

Agreement for Consultancy

- The consultancy work should be undertaken through suitable agreements entered by the University or its constituent units such as department, under the overall control of the consultancy service team.
- The agreement will address the scope of consultancy, deliverables, mutual responsibilities, time schedule, financial terms, resolution of disputes etc.
- The consulting service team may permit agreement between the consulting department and client organization depending upon the merit of the individual case.

Consultancy charge

The rate of professional charges per man-day of a team member will depend upon his position/ designation Vis a Vis the type of organization.

Responsibilities of consulting team members

- AdtU members undertaking consultancy project are entirely responsible for the completion of the consulting work without affecting the academic activities.
- Approval for involvement for a specific duration will be granted by the consulting service team based on merit/ requirement of individual assignment.
- AdtU member having consultancy work/ project will ensure reimbursement for the cost of any University facility used, which should be incorporated in the cost estimate.

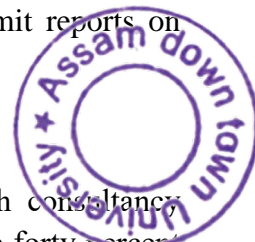
iii. Reporting progress.

The faculty members/ team leader taking up the consultancy assignment shall periodically keep Managing Trustee informed on the progress and submit reports on satisfactory completion of the assignment.

iv. Revenue sharing

Sharing of revenue will be based upon net revenue earned from each consultancy assignment carried out successfully up to the satisfaction of client. While forty percent (40%) of the net revenue is accounted for as revenue of AdtU, sixty percent (60%) of the net revenue may be distributed among the team members depending upon the grade of the team members from faculty, non-teaching staff (including administrative staff) and PG students, if involved.

Allocation of sixty percent (60%) of the net revenue among the consulting team members



as stated in clause no. 5.2 will be recommended by the team leader for consideration and approval of the Vice Chancellor. Due weightage in the self-appraisal of the consulting team members will be given while fixing share of individual members for their involvement in the consultancy assignment. As far as practicable, this parameter should be numerically quantifiable.

Marketing & coordination assistance will be provided by Sri Bidyut Bikash Das, Associate Professor, and Department of Management. The team leader should ensure that under no circumstances the direct expenditure incurred for carrying out the assignment exceeds 30% (thirty percent) of the gross revenue. In the event of exceeding the limit of 30% (thirty percent) as mentioned under serial no. 5.6, prior approval for taking up the consultancy service by the team should be taken from the competent authority. Filling up the cost estimation form enclosed is mandatory for the team leader. Deduction of Income Tax at source may be done as per university norms and procedure for any consultancy service-based income by the team members.

v. Consultancy Duty Leaves:

Consultants may be granted consultancy duty leave for visit to the stations outside the university on the consultancy project work with prior permission of the competent authority of the university for specified period of time.

vi. Sponsored Research project:

The faculty members, technical and other non-teaching staff of the university should be permitted and encouraged to engage themselves in sponsored research project activities without any interference with the discharge of their normal and regular duties.

In order to encourage faculty/staff to seek sponsored research funding the institute may pay twenty percent (20%) of the overhead revenue of the project cost to the various faculty/staff/students as suggested by the Principal Investigator after obtaining approval of the Vice Chancellor. The incentive will be paid only after successful completion of the project and acceptance/approval of final report by the sponsoring/funding agency.

II. Seed Funding Assistance for Research

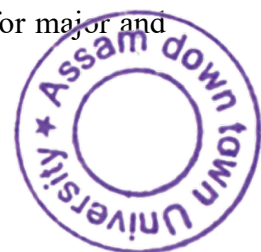
Scope of the Document: This document provides guidelines regarding the procedures to be followed for submission of proposals for Seed Funding, eligibility criteria, selection of proposal, undertaking letter to be given by the faculty, monitoring mechanism and submission of final Report.

Objectives:

- Motivate the faculty and scholars to pursue research on novel ideas, innovations and technologies by providing seed funding and support.
- To create a vibrant research culture and encourage multidisciplinary Research.
- To undertake preliminary research, so as to enable the faculty to apply for major and minor grants from Government and non-Government agencies.

Eligibility criteria:

- Applicant should have completed or about to complete PhD



- Applicant should have published at least two papers in SCI/Scopus indexed or UGC care listed Journals
- Applicants should not have ongoing seed funded projects
- Faculty involved in on-going funded projects from National Funding Agencies like UGC, DBT, DST, ICCSR, AICTE, etc. need not apply for seed funding assistance.
- Students belonging to any stream (UG/PG/M Phil/PhD) will be encouraged to submit together with their supervisors as Principal Investigators.

Call for Proposal:

- The call for the proposal will be made once every year in the month of April. Format is given in.
- Proposals should be submitted to Dean of respective Faculty. Deans after initial screening will forward the proposals to Dean, Research and Innovation.

Review process:

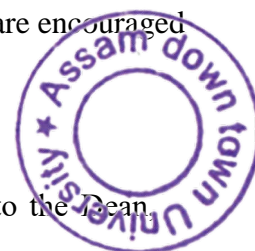
- A committee will be constituted by Vice Chancellor to select the deserving candidates & approved by BOR.
- The applicants will present the project proposals in front of the selection committee
- The selected projects will be intimated and sanctioned letter will be issued.
- The Acceptance form for seed funding should be submitted by the selected faculty.
- Review meeting will be conducted once in six months to monitor the progress.

Obligatory Requirements:

- Faculty should publish at least one paper in a SCI/Scopus Indexed or UGC care listed Journal.
- Assam down town University should be acknowledged in the paper publication for financial support
- Project should be completed within the stipulated time of one/two year.
- Extension requests will be at the discretion of the Vice Chancellor.
- Paper presentations in International/National conferences and Patent filings are encouraged even though not mandatory

Submission of the Completed Report:

- The completion report (soft copy and hard copy) should be submitted to the Dean Research and Innovation
- Fund Utilization Report need to be submitted along with the Report duly signed by Finance and Accounts Officer
- The final presentation should be made to the examination committee constituted by the Vice Chancellor along with the details of publications and paper presented in an



international conference.

b) Research promotion policy

- **Preamble:**

Along with regular teaching the Assam down town University encourages research in PhD and funded research project. Research is a compulsory part in graduate and post graduate programs. The University Research Council in the supreme body to look after the research activity of the University. Besides there is a research director to facilitate extramural funded research projects including collaborative research projects while the Faculty Research Committees looks after the PhD research program. Both FRCs and Director Research are responsible to University Research Council

Assam down Town University Research promotion policy includes the following.

1. Stakeholders:

- Students
- Faculty
- Sponsors (if any)
- Institutes (Collaborative if any)
- Other human resources.

2. Purpose: The purpose of research policy is to create vibrant atmosphere of research among faculty and researches in Assam down Town University. The policy shall serve as an overall framework within which research activities may be carried out.

Objectives

- Undertake research leading to Quality publications.
- Presentations in National & International conference of reference and research journals. Generation of Intellectual property with potential for commercialization.
- Socially useful outcome
- Research output will be considered as one of the criteria for faculty.

3. Scope

Assam down town University lays down code of ethics for all faculty members undertaking research and operationally controlled by the University Research Council. It concerns all the activities through which research information and data are gathered processes and disseminated through publication and other means.

- **Resources for Research support:**

Seed money for pre research proposals and Travel Allowances for participating conference and seminars:

The University has a research budget on research grant and allocated certain amount of money for financial assistance in the form of seed money (intramural fund) for undertaking pre research proposals, TA/DA and others for travel for attending conference seminar and workshops. The application for such research grant is certified by a committee and recommends the status of grant prayed for the matter will be reported to the University Research Council.



- **Reward scheme for research output**

Rewards are announced for highest number of publications both for individual faculty members as well as Faculty of Studies (Details in Annexure 1). The Policy for assigning weightage to publications is also included at the end of this document.

- **Research management**

Overall management of research activities may be coordinated by Dean of Research& Innovation under the Supervisor of VC/Chairman Research. Each department of Research activity will be coordinated by Dean of Faculty/ HOD.

- **Ethics:** Ethical standard for the research works shall be monitored by the Ethics Committee of the University.

c) **Publication Policy**

The Assam down town University encourages publication of articles (Research, Review, Conference papers etc.) describing the findings of original research, review of existing knowledge in a particular field or any novel idea opinion etc. in a manner that will improve and enhance the publication records and quality of the works of the faculty members, staffs, students besides bringing laurels and recognition to themselves as well to the university. Here the definition are as:

- **Author:** "Author" refers to any person who has made substantial contribution to the publication in any capacity, including:
 - a. Conceptualization of the research work
 - b. Doing the actual experiments/Field studies
 - c. Collection, analyses, and interpretations of data
 - d. Conceiving and Writing of the manuscript
 - e. Reviewing/Revising the manuscript in a substantial manner
 - f. In any other way that makes the study possible and meaningful

- **Corresponding author(s):**

'Corresponding author' is/are the one (or more) author (s), who is responsible for the manuscript and meets the criteria of authorship as defined above. The corresponding author(s) maintains the integrity of the manuscript and obtains agreement of all co-authors to all the submitted as well as final revise version of the manuscript. The corresponding author(s) must use the Institutional email address (adtu.in) in all forms of communication related to the manuscript.

- **Co-authors:**

'Co-authors' are all researchers, that meet the authorship criteria, but are not Corresponding authors. Each co-author is also responsible for the content of the manuscript and as such required to peruse the manuscript before submission and satisfy himself/herself about the content of the manuscript.

- **Guest author:**

Guest authors: The inclusion of a person's name, who has not made any significant contribution in the publication as author/co-author is known as guest-authorship.



Acknowledgements:

Individuals who have made valued contributions like providing experimental material, arranging funding, general supervision of the experiments, general administrations, but do not satisfy the criteria of authorship should be duly acknowledged in the publications.

Mandatory fulfilment of requirements and follow-ups in publication of article and the publication process:**Integrity:**

All the authors (Corresponding author as well as co-authors) are responsible for the integrity of the manuscript and are liable in case any fault is found. The specific points to be considered but not limited to are:

(a) Plagiarism: All work submitted for publication must be the original work of the author(s) and be properly attributed and should be free of plagiarism and self-plagiarism. Reuse of data, figure, image, content from own publication(s) without proper attribution/acknowledgement is self-plagiarism and to be avoided as it can draw severe repercussions.

(b) Artificial Intelligence (AI): Use of Artificial Intelligence to ghost-write the manuscript, or create content is to be avoided.

(c) Guest authors: The inclusion of a person's name, who has not made any significant contribution in the publication as author/co-author is known as guest-authorship. This practice is highly discouraged. However, the university recognizes that there may be collaborators from outside the university, who have made significant contributions to the publication and as such it is encouraged to include their name in the author's list. The individuals who have merely helped in editing the manuscript or formatting, grammar checking of the manuscript, without any scientific contribution should not be given authorship but their contribution should be duly acknowledged.

(d) Ghost-writing: When a person significantly contributes to a piece of research or development of a publication by giving his/her scientific input like interpretation of data, drawing inference from the data etc. but is not given the due credit in lieu of some other form of compensation including but not limited to pecuniary benefit etc. is generally known as Ghost-Writing. AdtU strongly discourages this practice among its faculty (including honorary faculty), staff and students.

(e) Conflict of Interest: Author(s) need to identify all potential source of conflicts of interests including but not limited to, legal, ethical, moral, financial, personal and other nature and mention the same in the publication if such conflict of interest exists after trying all the best to avoid the point of conflict in consultation with the individual /agency with whom the conflict is arising.

(f) Predatory journals: The author(s) to publish only in journals recognized by SCI, Scopus, Web of Science, UGC-Care, PubMed and National Academy of Agricultural Sciences and are to avoid publication in predatory journals at all cost.

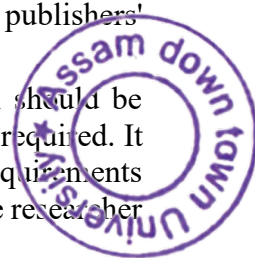
Affiliation/Acknowledgements:

(a) The Assam down town University (AdtU) must be acknowledged in all publication arising out of the research work of the faculty, staff and/or students of Assam down town University and the authors affiliation should be clearly identified in the format given below. In case of limitation of space, Assam down town University has to be given top priority, to the exclusion of other text.

(b) Researchers must acknowledge the source of funding(s), whether Intra-mural or extra-mural in nature and must comply with funding authority's requirements.

(c) AdtU encourages all authors to obtain a persistent author identification from a recognized agency like Vidwan/ORCID/Scopus etc. and use it in the submission process to comply with publishers' requirement as well as to avoid misidentification.

(d) Ethical/Biosafety Clearance: All works using clinical data, or biological material should be cleared by respective institutional ethical committee/bio-safety committee as and when required. It is the responsibility of the researcher to satisfy himself/herself that all such statutory requirements have been adhered to and the university will not any way liable for any negligence by the researcher in this regard.



(e) **Copyright Policy:** Copyright policy is a set of rules and regulations that govern the use, distribution, and protection of creative works. In research, this includes written works (e.g., articles, dissertations), databases, software, and creative presentations of data. The university shall have the copyrights of all these documents and works as will be marked as copyright protected by the competent authority of the university.

(f) **Submission of article/Paper etc:** It is mandatory for all authors to submit a copy of the final draft and a copy of the published manuscript in the university repository (ERP), without which no any benefit will accrue to the researcher for the publication. Approved SOP notified by the university in this regard has to be followed.

Publication of Books/Book Chapter: The books and book chapters' details (e.g. Title of the manuscript, Affiliation, Publisher name etc) need to undergo through an internal review process to ensure it meets the university's academic and ethical standards. Approved SOP notified by the university in this regard has to be followed.

Other Miscellaneous Publications (Bulletins/Leaflets/Report etc.): The terms and conditions set by a university for the publication of materials such as bulletins, leaflets, reports, and other similar documents are designed to ensure that the materials align with the university's standards, policies, and objectives.

The following is the procedure to be adopted while submitting research paper/book and book chapter for publication in different journals/publishing agency and uploading of relevant information through ERP for intimation to the university authority

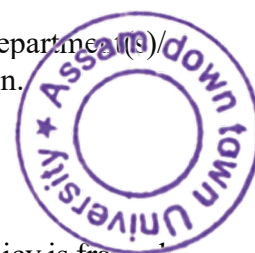
- The faculty members will prepare & submit the publication submission report of their manuscripts for publication in a google form to the respective dean of faculty.
- Dean of respective faculty will scrutinize the publication submission report and provide a unique ID.
- The concern faculty member then makes the entry in ERP with unique ID and google form link.
- Directorate of research will take note of the ERP submission of all research and review papers. Based on these records, reports on publication of papers will be presented to the appropriate forum whenever needed.

The following is the procedure to be adopted while publishing bulletins/ leaflets/ report etc.

- The prescribed guidelines/SoPs of AdtU on the format, design, layout, colour combination etc. Must be followed for consistency with university standards.
- All materials must undergo an internal review process for accuracy, quality, and compliance with university standards and norms.
- Intended publications must receive formal approval from concerned department(s)/ faculty and from the competent authority of the university before finalization.

d) Intellectual Property Right (IPR) Policy

The Assam down town University (AdtU) Intellectual Property Right (IPR) policy is framed to promote innovation and Intellectual Property (IP) generation through research and



development, and the protection of IP through IPR-related activities and awareness workshops. The IPR policy ensures a standard process for the applicants and control of IPR for AdtU and a standard process for sharing of the revenues generated through the technology transfer of IPR to industries.

The IPR & Technology Transfer norm:

- The policy is applicable to all personnel belonging to AdtU, and covers all different classes of IP viz., Patent, Copyright, Design, Trademark, and its registrations and Confidential Information of IPR.
- The non-AdtU personnel associated with IPR activity are identified through MoUs/agreements/contracts between individuals or institutions wherever applicable

Revenue Generation Aspects:

- The inventor (s) share would be declared annually and disbursement will be made to the inventor(s), based on their association with AdtU at the time of disbursement.

Disclosures, Confidentiality and Assignment:

- For sponsored and/or collaborative work the provisions of the contract pertaining to disclosure of creative work are applied.
- For all other invention(s) produced at AdtU, if the inventor(s) wish to protect the invention(s) they produce, then they are required to disclose the creative work using the Invention Disclosure Form (IDF) (available on university website). The inventor (s) shall assign the rights of the disclosed invention to the university.
- The IDFs submitted will be evaluated by the IPR cell, on the patentability.
- In case AdtU is not willing to apply for the patent or register the invention, the inventor can apply for the patent with their own funds, after obtaining written permission from the competent authority of AdtU . The revenue sharing in such cases will be decided by a special committee constituted by the Vice Chancellor.
- All AdtU personnel and non-AdtU personnel associated with any activity of AdtU shall treat all IP related information which has been disclosed to the competent authority of AdtU and/or whose rights are assigned to AdtU, or whose rights rest with AdtU personnel, as confidential.
- Such confidentiality shall be maintained till the date as demanded by the relevant contract, if any, between the concerned parties, unless such knowledge is in the public domain or is generally available to the public.



CHAPTER 7- SEPERATION POLICIES

I. Resignation

Any employee intending to part ways with the University permanently for any reasons, through a route of resignation must intimate their Reporting Authority/Head of human resource department, in writing. Authority and the head of human resource shall discuss the reason for resignation with the employee intending to resign. After such discussion, the decision thereafter shall be deemed to be final, in terms of continuation or discontinuation of the employment. In case of the decision of continuation of the employment, the said employee shall withdraw his/her resignation in writing addressing to his/her reporting authority and to the Head of the Human Resource Department. iv. In case of the decision of the discontinuation of the employment, the employee shall then serve the notice period from the date of his/her resignation and is liable to serve notice period or pay in lieu of such notice period (as mentioned below), to get relieved from his employment at the university.

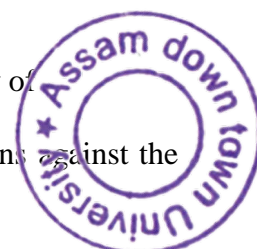
I. Notice Period:

- a. The notice period for the teaching employees of the University shall be either, three (3) months for teaching staff and 1 month for non-teaching staff from the date of their resignation.
- b. The notice period for the contractual employees shall be in accordance with their Agreement signed at the time of their appointment. Contracts are naturally for 11 months (renewable yearly as per needs) within this tome duration if any contractual employee leave 1 month notice period needs to be serve.
- d. All the employees have to compulsorily complete their Notice Period, or pay in lieu of such Notice Period.
- e. The employee shall not be allowed to take any leaves (except the approved weekly off) during the Notice Period including the Vacation of any type, unless approved/sanctioned in certain exceptional cases such as medical emergencies, for which the employee has to inform the reporting authority/Head of Human Resource Department, in writing, supported by relevant evidence, if asked.

II. Termination

Notwithstanding any contained in these rules, an employee may be terminated from services in cases the University decided that the services of the employee are no longer needed or in the case of the discontinuance of any program or department. This does not reflect on the employee's conduct, rather it may be because of Retrenchment, Layoffs, and Rearrangement of a department or redefining of position. Subject to the Rules and Regulations of the University, an employee may be terminated from their services, on account of Misconduct, in case of following circumstances (but not limited to):

- a. Unsatisfactory or sub-standard or below par performance of the employee.
- b. No reasonable reply of the show-cause notice issued against the employee by the reporting authority/Head of Human Resource department, leading to termination of the employment.
- c. Violating any of the Policies on the Code of Conduct.
- d. Failed to re-join the services, within seven (7) days from the date of expiry of his/her Sabbatical leave.
- e. Is found guilty of fraud, embezzlement, or any other kind of illegal actions against the University.
- f. Is guilty of discriminatory behaviour.
- g. In violation of any of the sexual harassment policies of the University.
- h. Is guilty of immoral or unlawful behaviour on the job.



- i. Is guilty of wilful neglect of job responsibilities.
- j. If any of their actions causes harm to or put any person's life in danger.
- k. If any of their actions causes damage to any property or asset of the University.
- l. If there is the initiation of any form of criminal proceedings before any of the competent courts of India.
- m. Continuously disregards/disobeys University policies.
- n. The power of termination of services shall be exercised by the Head of the Human Resource department. In certain cases, the disciplinary committee can recommend such action against the employee.

III. Suspension

Notwithstanding anything contained under the above mentioned clause, any employee of the University at the discretion of the Head of the Human Resource in consultation with the Dean of the Faculty/Vice-Chancellor, as per the case, may be suspended without pay, if found but not limited to be in contravention of any of the policies of the University, or having committed any act which may be illegal, immoral or against any policies of the University or any other prevailing laws, ordinances, acts, or guidelines in effect in India. Furthermore, the Disciplinary Committee shall investigate the incident or action of such employee separately from any other investigation that may be initiated against them. It is the discretion of the committee to suspend such employees till the time investigation is pending. If found guilty, then such an employee shall be liable to be terminated from services with immediate effect. The employee is not liable for salary for the period of such suspension.

IV. Any Unforeseen event / Death of an employee

In the event of any unforeseen circumstances such as the untimely death of any employee, the HR department shall ensure that any of the pending dues, encumbrances or salary of such deceased employee shall be released in favour of the legal heir of such deceased employee. The HR department also look after the education of the deceased child and also give employment to the next kin of the employee.

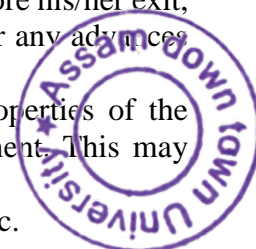
V. Retirement

The age prescribed for retirement on superannuation is 70 years for faculty members and 60 years for other employees of the Institute. Retirement is effective from the afternoon of the last day of the month in which the age of superannuation is attained. The day of retirement on superannuation and premature/voluntary retirement will be deemed as a working day.

VI. Exit Formalities:

- i. The employee shall settle all of their dues pending with the University before his/her exit, including but not limited to the settlement of any loan extended to them, or any advances offered to them, etc.
- ii. The employee shall, before exiting shall handover any and all the properties of the University extended or given to them during the course of their employment. This may include:
 - a. Laptops/Computers, printers, data card, camera or recording equipment etc.
 - b. University issued ID card, books, any stationary, cabinet keys, etc.

IV. Any and all the documents concerning the University.



In case of any damage or loss is found in such properties, the employee shall buy, repair or replace such property(s) before the exit of such employee from the University, failing to which cost of the same shall be recovered from the full and final settlement of such employees.

- V. Employee shall be liable to submit clearance forms (No dues) signed by various authorities such as the Finance department, the Library, the Human Resource department, along with that of their reporting authority stating that they are free from all kinds of encumbrances and they have settled all of their dues and returned all of the property of the University.

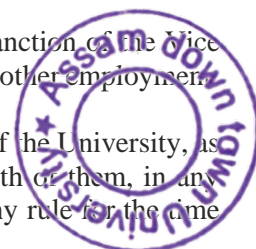
VII. Exit Interview and Full and Final settlement

Any employee exiting from the university, will be scheduled for an exit interview with the Head of Human Resource department to ensure all the property is returned and the clearance forms (No Dues) have been signed by various departments, ensuring there are no pendency's on part of such employee. The resigning employee shall also have to fill an Exit Interview Form and provide in detail the reasons for them leaving, and what are their future plans and their experience with the University, and subsequently a Relieving Letter will be issued in favour of the employee by the Human Resource Department. The employees shall be asked to confirm their forwarding address to ensure that benefits and tax information are received on a timely basis. Final pay shall be transferred in the account of such employees after the verification and clearance of all the encumbrances of the resigning employee on their last working day. Such pay shall be disbursed on the salary cycle of the next month from the date of relieving letter. The full and final settlement along with all the necessary documents, experience letters, and the like shall be provided to such employee after a period of 30 days from their exit but not more than 45 days.



CHAPTER 8 – MISCELLANEOUS POLICIES

- I. Use of University Property:** - All employees are expected to be responsible and efficient in their use of IIMA's assets. All assets of the Institute shall be used only for legitimate business purposes. Theft, carelessness, and waste of resources will be viewed seriously.
- II. Confidentiality Agreement:** - Except to his/her direct superior authority, a member will not give out to any person any of the administrative and/or organizational matters of confidential/ secret nature which it may be his/her personal privilege to know by virtue of being a member of the University. All books, records and articles belonging to the University shall remain in the office premises and it will be ensured that these are safely kept and maintained at the proper place. No record will be removed from the premises to any other place without the prior permission of the competent authority.
- III. Acceptance of outside assignment:** - During the period of employment with the University, every member will devote his/her entire time, attention and abilities exclusively to the performance of the assigned duties; and will not undertake any other direct /indirect business, work or assignment – honorary or remunerator – or any further studies, examination or external academic course (including part-time or correspondence) except with prior permission of the competent authority.
- IV. Taking part in politics & elections:** - No member shall take active part in politics so as to cause interference in the discharge of his duties nor shall he in any manner associate himself with any movement or organization which is, or tends directly or indirectly, to be subversive of law and order, or the interest of the University education. No member shall, without previous intimation to the Trustee of the University, stand for election or accept nomination to any local body, legislature of the State or Parliament, nor shall he, in any manner, force his subordinates or his students against their will for the canvassing of his election.
- **Demonstrations and Strikes:** - No member shall engage himself/herself or participate in any demonstration or strike which is prejudicial to the interest of the University, or to the interest of public order, decency or morality.
 - **Joining of Association by Teacher(s):** - No faculty shall join or be a member of an association, the objects and activities of which are prejudicial to the interest of the University or the sovereignty and integrity of India.
- V. Criticism of University, Institution.:** - No member shall in any electronic broadcast or any document published anonymously or in his own name, or in the name of any other person, or in any communication to the press, or in any public utterance, make any statement or express an opinion:
- Which is in the nature of character assassination, reflection on the personal life of his colleagues, subordinates and superiors.
 - Which is in the nature of criticism of an individual as distinct from policy decision.
- VI. Private Trade Employment or tuition.:** - Except with the previous sanction of the Vice Chancellor, engage directly or indirectly in any trade or business or under any other employment.
- Borrow money from his subordinates or students.
 - Enter into any pecuniary arrangement with any other faculty or student of the University, as the case may be, so as to afford any kind of advantage to either or both of them, in any unauthorized manner, or against the specific or implied provisions of any rule for the time being in force.
 - Engage himself in any private tuition for which a fee/ remuneration is charged either within or outside the precincts of the University or Institution in which he is working.



- VII. Write Articles /participate in talks/ give interviews on behalf of the etc on behalf of the University.:** - While all members are encouraged to write articles, participate in professional forum and give talks on professional subjects, they should discuss the details with their HOI/ HOD in advance and ensure compliance with the guidelines. In all matters connected with the media, they should first consult their HOI/ HOD. Unless authorized by the competent authority, no member is permitted to interact with the media, on behalf of the organization.



CHAPTER 9 – DISCIPLINARY FLOWCHART

