



Policy for Grievance & Discipline

## Regulations on Grievance Redressal and Disciplinary issues for Academic and Non-Academic staff members of the University

### A. Grievance Redressal:

**A.1 Introduction:** It is the policy of Royal Global University to provide an immediate and fair method to address grievances of Confirmed Academic and Non-Academic staff members of the University, in order to resolve work related problems or conditions that may arise between the University and an employee or between two/more employees. However, amicable resolution of the grievances through mutual discussion and/or through the mediation of senior functionaries of the Department/School/ University shall be always appreciated.

### A.2 Procedures:

1. The aggrieved employee shall be required to submit in writing a formal application to the Registrar for redressal of the grievance. The formal application shall provide enough detail as a reasonable ground to allow a response. The grievance will contain a statement of the perceived facts of the case and a precise description of the remedy sought by the grievant. The Grievance must contain the following information:

- a) The specific policy or established practice that has allegedly been violated.
- b) The date of the alleged violation and the date on which the grievant became aware of the alleged violation.
- c) The facts relevant to the alleged violation.
- d) The person(s) against whom the grievance is filed; and,
- e) The redress sought.

The grievant may withdraw a formal grievance at any stage of the proceeding but shall not be allowed to resubmit it once it is withdrawn. The withdrawal request should be made in writing to the Registrar at the time of the withdrawal. However, this policy does not bar any employee from filing a similar complaint should the facts change.

2. The Employee discusses his or her grievance directly with the Departmental Head within ten working days of the occurrence. The Departmental Head discusses the grievance fully with the employee, renders a decision and provides reasons for the decision in writing within five working days of the first meeting.

3. If the Departmental Head's decision is not acceptable to the grievant, the grievant may request, in writing, a review by the Head of the School/Dean of Faculty/Registrar (in case of non-teaching staff) within five working days of notification of the Departmental Head's decision. The Head of the School/Dean of Faculty/Registrar (in case of non-teaching staff) will schedule a meeting with

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the employee, within ten working days of the notification of the review. The Head of the School/Dean of Faculty/Registrar (in case of non-teaching staff) hears the grievance, renders a decision and provides reasons for the decision in writing. The decision is either rendered at the meeting or within, but not later than, five working days after the meeting.

4.If decision of the Head of the School/Dean of Faculty/Registrar (in case of non-teaching staff) is not acceptable to the grievant, the grievant may request, in writing, a review by this Committee through the Head of the School/Dean of Faculty/Registrar (in case of non-teaching staff) within five working days after notification of the Head of the School's/Dean of Faculty/Registrar's (in case of non-teaching staff) decision. This Grievance Committee will establish a meeting with the grievant within fifteen working days of receiving the written request. The Committee will hear the grievance and make a recommendation to the Vice-Chancellor within five working days after the meeting. The Vice-Chancellor's decision and reasons for that decision shall be communicated to the faculty member in writing within fourteen working days, after receipt of the recommendation.

5.In case, the grievance is related to such policies/procedures etc. which directly deals with central authorities/bodies, then the faculty/staff members should/can directly approach to the Grievance Redressal committee through HoD/HoS.

6.In case the grievance is against HoS/HoI/Dean/Registrar/Vice-Chancellor, the grievance may be directly submitted to Hon'ble Chancellor of the University, through the Grievance Redressal committee.

### A.3 Grievance Redressal Committee:

A Grievance Committee formed by the Vice Chancellor with the following members shall address the grievance of the employee once the grievance is (are) submitted following the due procedure.

- i) Pro Vice-Chancellor/Dean Academics/Senior most Dean - Chairperson of the committee
- ii)Dean/Head of one of the Schools (to be nominated by Board of Management) - Member
- iii)Dean/Head of one of the Schools (to be nominated by Vice-Chancellor) - Member
- iv)Senior Professor/Professor/Associate Professor (to be nominated by Board of Management) - Member
- v)Senior Professor/Professor/Associate Professor (to be nominated by Vice-Chancellor) - Member
- vi)Dean/Head of the concerned school/Sectional Head (in case of non-teaching staff) - Member
- v)Registrar - Member Secretary

The minimum quorum of the committee shall be 5. In case the grievance is against any of the above mentioned members, that member will be replaced (for that particular hearing) by a nominee of Hon'ble Vice-Chancellor.

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#### A.4. Grievance Committee Hearing Procedure

1. Upon receipt of a request from the School Head/Dean of Faculty/Registrar (in case of non-teaching staff), the Committee will schedule a hearing. This hearing should be held within fifteen working days after convening by the School Head/Dean of Faculty/Registrar (in case of non-teaching staff). The Chairperson's notice of a time and place for the hearing must be delivered to the party/parties involved at least two working days prior to the hearing. A copy of the notice and a copy of the written appeal will be furnished to the members of the Committee.
2. The formal hearing will be conducted in camera. The grievant will present his or her own case and has the right to present whatever evidence, written or oral, he or she consider relevant or material to the grievance. This may include the calling of witness.
3. After the presentation by the grievant, the respondent about whose actions or decisions the grievance was filed will be given an opportunity to present his or her case under the same rules as the grievant. The Committee may also call witnesses as it considers appropriate. Both the grievant and the respondent may question all witnesses.
4. The Committee will not be bound by strict rules of legal evidence. The Committee may receive any evidence of probative value in determining the issues involved. Every reasonable effort shall be made to obtain the most reliable evidence possible. All questions relating to the admissibility of evidence or other legal matters will be decided by the Chairperson.
5. Within five working days after the hearing (under normal circumstances), the Chairperson shall communicate its recommendation in writing to the Vice-Chancellor.
6. In general grievance/cases, the Vice-Chancellor shall render a decision and notify the Chairperson of the Hearing Committee with a copy to the grievant and respondent within fourteen working days of the receipt of the recommendation. In case the decision rendered by the Vice-Chancellor is disagreed on, the same may be put for review to the Board of Management. In extreme/extra-ordinary circumstances, the Board of Management shall render a decision. Such decision shall be notified to the Hearing Committee by Registrar/Member Secretary of BoM, with a copy to the grievant and respondent.

**A.5. Exclusions:** Faculty members do not have the right to appeal through the Grievance Committee about procedures related to salary, appointment or reappointment and matters of harassment (covered under Internal Complaints Committee). Other exclusions may apply where University Policy or external policy or law of the land is identified that takes precedence.

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**B. Misconduct by employee:**

**B.1 Introduction:** All employees of the Assam Royal Global University have an obligation to comply with the rules, regulations and policies of the University. Disciplinary action may follow when any employee engages in other conduct unbecoming a member of the faculty/staff, such as violation of The Assam Royal Global University Act (to be read with The Assam Private Universities Act), The Statutes, Ordinance, regulations, decisions of the University, any action which interferes with the regular operations of the University or the rights of others, any serious violation of the law, or any other conduct prejudicial to the teaching, research, name & fame or welfare of the University, and so forth.

**B2. Procedures:** The following procedure is applicable where a question arises concerning an alleged violation by any member of the Full-Time/Part Time employee (except visiting faculty) of a rule or regulation of the University.

- i. Any officer of the University, any member of the faculty or staff, or any student may file a complaint against a member of the Full-Time/Part Time employee (except visiting faculty) for violations as specified in B.1 above. This procedure may also be initiated in case any employee is found openly disregarding or violating the rules & regulations as stated above in B.1.
- ii. The complaint shall be filed with the Head of the school/Registrar (in case of non-teaching staff), except that a complaint against the Head of the school/Sectional Head (in case of non-teaching staff) shall be filed with the Registrar/Dean (Academics)/Pro Vice-Chancellor. Complaints must be filed within a month's time after an alleged violation.
- iii. The Head of the school/Registrar (in case of non-teaching staff) shall refer the matter, with all pertinent information to the committee to be constituted by the Vice Chancellor. It will review the existing file with respect to the complaint and provide a report of findings and recommendations for penalties, which may include a dissenting opinion as appropriate. The committee shall complete its review and report to the Vice-Chancellor within thirty calendar days of being charged with its task, except where exigent circumstances apply. The Vice-Chancellor shall decide and implement disciplinary sanctions within thirty calendar days of receiving the committee report, except where exigent circumstances apply. If the committee does not complete its work within thirty calendar days, the Vice-Chancellor shall implement disciplinary sanction(s) based on the existing file within thirty calendar days of the committee's deadline. If the Vice-Chancellor conducts a further review on specific matters before rendering a decision, the Vice-Chancellor shall have an additional thirty calendar days from the date of the committee's report to reach his or her decision, except where exigent circumstances apply.

**B.3. Penalties:** Disciplinary action normally falls into two general categories: **Minor Penalty** and **Major Penalty**. Minor penalty includes but is not limited to: verbal reprimand, written reprimand, mandatory training, foregoing salary increase, restitution, monitoring of behavior and performance, and/or reassignment of duties; *Major penalty* includes suspension with half

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pay or without pay or temporary or permanent reduction in appointment. A full suspension without pay may not exceed six months. In egregious cases of wrongdoing, or where attempts at discipline have not successfully remedied performance concerns, a faculty member may be dismissed for cause.

In matters where this committee concurs that an employee's continued performance of duties poses a significant risk of harm to persons or property, the employee may be relieved of duties and suspended with half pay during the pendency of the committee's hearing process.

In all faculty discipline, the University bears the burden of proof that adequate cause exists; it will be satisfied only by clear and convincing evidence unless a different standard is required by law. The employee's record should be considered when contemplating imposition of disciplinary action.

**B.4. Appeal:** An employee may appeal against the decision of the Vice-Chancellor to impose the penalty of suspension or dismissal. Such appeal shall be to the Chancellor. Penalties shall be in place pending appeal. Grounds for an appeal shall be that: a) the procedures used to reach the decision were improper, or that the case received inadequate consideration; or b) the decisions violated the academic freedom of the person in question, in which case the burden of proof is on the faculty member. Any such appeal must be made to the Chancellor within fifteen working days after receipt of notice of the decision of the Vice-Chancellor.

**B.5. Disciplinary Misconduct:** Each employee is expected to acquaint themselves with performance criteria for their particular job and with all rules, procedures, and standards of conduct established by the Assam Royal Global University. An employee who does not fulfil the responsibilities set out by such performance criteria, rules, procedures and standards of conduct may be subject to adverse personnel action. Misconducts which are subject to disciplinary action, but not limited to, are as follows:

- a. All employees are expected to maintain standards of conduct suitable and acceptable to the work environment. Disciplinary action, including dismissal, may be imposed for unacceptable conduct.
- b. Examples of unacceptable conduct include, but are not limited to:
  - i. falsification of personnel records or other institutional records;
  - ii. neglect of duties, loafing or wasting time during working hours;
  - iii. smoking anywhere in the campus or within a radius of 500 mts.;
  - iv. gambling, participating in lotteries or any other games of chance on the premises at any time;
  - v. soliciting, collecting money or circulating petitions on the premises other than within the rules and regulations of the University;
  - vi. bringing intoxicants or drugs onto the premises of the institution, using intoxicants or drugs, having intoxicants or drugs in one's possession, or being under the influence of intoxicants or drugs on the premises at any time;
  - vii. abuse or waste of tools, equipment, fixtures, property, supplies or goods of the institution;

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- viii. creating or contributing to unhealthy or unsanitary conditions;
- ix. violations of safety rules or accepted safety practices;
- x. failure to cooperate with supervisor or coworker, impairment of function of work unit, or disruptive conduct;
- xi. disorderly conduct, horseplay, harassment of other employees or use of abusive language on the premises;
- xii. fighting, encouraging a fight or threatening, attempting or causing injury to another person on the premises;
- xiii. neglect of duty or failure to meet a reasonable and objective measure of efficiency and productivity;
- xiv. theft, dishonesty or unauthorized use of institutional property including records and confidential information;
- xv. creating a condition hazardous to another person on the premises;
- xvi. destroying or defacing institutional property or records or the property of a student or employee;
- xvii. refusal of an employee to follow instructions or to perform designated work that may be required of an employee or refusal to adhere to established rules and regulations;
- xviii. repeated tardiness or absence, absence without proper notification to the supervisor or without satisfactory reasons or unavailability for work; and
- xix. violation of policies or rules of the University
- xx. Failure to meet the responsibilities of instruction, including: (a) arbitrary denial of access to instruction; (b) significant intrusion of material unrelated to the course; (c) significant failure to adhere, without legitimate reason, to the rules of the faculty in the conduct of courses, to meet class, to keep office hours, or to hold examinations as scheduled; (d) evaluation of student work by criteria not directly reflective of course performance; (e) undue and unexcused delay in evaluating student work.
- xxi. Discrimination, including harassment, against a student on political grounds, or for reasons of race, color, religion, sex, sexual orientation, gender identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition (cancer-related or genetic characteristics), genetic information (including family medical history), or within the limits imposed by law or University regulations, because of age or citizenship or for other arbitrary or personal reasons.
- xxii. Entering into a romantic or sexual relationship with any student for whom a faculty member has, or should reasonably expect to have in the future, academic responsibility (instructional, evaluative, or supervisory).

**B.6. Exclusions:** These policies and procedures do not apply to:

1. faculty or teaching staff who are subject to other approved discipline or dismissal procedures;
2. Suspension with no pay/half pay/full pay pending investigation of allegations relating to an employee;

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3. Decisions not to offer reappointment to persons whose appointment for a stated period of one year or less expires at the end of such period without the necessity of notice of non-renewal as provided in the Rules and Regulations of the University;
4. Dismissal of employees
  - a. as a result of reorganization.
  - b. because of financial exigency.
  - c. who are not appointed but who are employed on a per diem or hourly rate and work on an as needed basis (i.e., Visiting faculty etc.).

<b>Intended Recipients of this regulations:</b>	
<i>All employees of RGU except who are employed on a per diem or hourly rate and work on an as needed basis (i.e., Visiting faculty etc.).</i>	
<b>Drafted by:</b> <i>Ms. Dipika T. Agarwal, Assistant Registrar</i>	
<b>Persons Consulted:</b> <i>Prof. Alak K. Buragohain, Chairperson Academic</i>	
<b>Approved by:</b>	
<b>Date issued:</b>	<i>11/02/2020</i>
<b>Effective date:</b>	<i>Immediate (11/02/2020)</i>

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