



International
Institute of Information
Technology Bangalore



INTERNATIONAL INSTITUTE OF INFORMATION TECHNOLOGY BANGALORE

**EXTRACT OF GRIEVANCE REDRESSAL, DISCIPLINE AND
DISCIPLINARY PROCEDURES FROM HR POLICIES**

CHAPTER 8

8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

8.1 REDRESSAL OF GRIEVANCES

At IIT-Bangalore, employees have the right to raise concerns or grievances regarding workplace conditions, employment practices, workplace relationships, or policy interpretations. These grievances may arise between IIT-Bangalore and its employees, and both regular and non-regular staff, including those on probation, are entitled to voice concerns. Such concerns may include issues related to discrimination or the application and interpretation of IIT-Bangalore 's policies and procedures.

The Registrar is responsible for ensuring that all grievances are handled with care and sensitivity according to the following structured process:

8.1.1 GRIEVANCE SUBMISSION PROCESS

(a) **Written Submission of Complaints:**

All grievances related to employment, including unfair treatment or the misapplication of service rules, should be submitted in writing and addressed in the following order:

- (i) Representation to the Reporting Senior.
- (ii) Representation to the Registrar.
- (iii) Representation to the Director.

(b) **Grievance Redressal Committee:**

A committee for addressing grievances, constituted by the Director, will proactively address these issues. Employees are required to follow this grievance procedure before escalating the matter to any external agencies.

(c) **Open Door Policy:**

In cases where no response is received within the stipulated timeframe during the formal grievance process, employees have the opportunity to report their concerns directly to the Director under IIT-Bangalore's Open Door Policy, provided above options have been exhausted.

(d) **Regulatory Committees:**

The Director will also convene additional grievance redressal committees as mandated by regulatory bodies such as AICTE and UGC to ensure compliance with external regulations.

(e) **Final Recourse – Ombudsman:**

If all other avenues are exhausted and the employee remains unsatisfied with the outcome, they may approach the IIT-Bangalore Ombudsman via email at iitbobudsman@iitb.ac.in. The Ombudsman is to be appointed by the Director preferably an academician who should be impartial and independent, with a deep understanding of university policies, student rights, and academic regulations. Ideally, the person must have experience in conflict resolution, mediation, and dispute management. Former university administrators, professors, or legal professionals with experience in education law are often suitable candidates. The individual must be approachable, maintain confidentiality, and be trusted by students, faculty, and staff.

HR Policy – 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

8.1.2 GRIEVANCE HANDLING PROCEDURE

(a) **Step 1: Initial Discussion:**

If an employee feels their rights have been violated, they should first discuss the issue orally with their immediate supervisor. If no satisfactory resolution is reached, the employee may submit a formal grievance letter to the supervisor within ten days of the incident.

(b) **Step 2: Escalation to Reporting Senior:**

If the immediate supervisor does not provide a resolution within five working days, the grievance can be escalated to the next level, typically the Department Head.

(c) **Step 3: Escalation to the Registrar and Director:**

If the Reporting Senior fails to resolve the issue within five days, the grievance may be escalated to the Registrar for Grievance Management. The Registrar will then present the issue to the Director, whose decision will be communicated in writing to the employee within 15 days of receiving the grievance.

(d) **Step 4: Ombudsman Involvement:**

Should the employee still not find a resolution through the above channels, they may contact the IIT-Bangalore Ombudsman at iiitbobudsman@iiitb.ac.in before considering any legal action.

This structured approach ensures that grievances are handled fairly, transparently, and with a clear escalation path, allowing employees to seek redressal at different levels before resorting to external authorities.

The HR and Process Administrator must maintain a record of all grievances and their corresponding resolutions.

8.2 DISCIPLINE AND DISCIPLINARY PROCEDURES

1. Discipline / Corrective Action. Disciplinary action is an action towards the non-compliance to the stated objective in this policy. Any act deliberate or accidental, wherein the motive of the end-user is found to be malicious, shall lead to invocation of disciplinary action policy. The broad discipline / corrective action policies when a breach occurs will be as follows: -

(a) In the event that an employee fails to adhere to the norms outlined in their offer letters, the institute's rules and regulations, or the generally accepted practices within educational institutions in the country, IIT-Bangalore 's approach will be to first counsel the employee. The goal of this counseling is to help the employee understand their role and responsibilities, ensuring that such mistakes are not repeated in the future. This action falls under the Discipline Rules of the institution. The following must be ensured: -

(i) Counselling must be documented and signed by the counselling officer, who is typically the immediate reporting officer. For employees not in leadership positions, the Registrar may also fulfil this role. In the case of senior staff or faculty members, the Director is authorized to conduct the counselling.

(ii) The documentation should include a statement such as: "Had the occasion to counsel [Employee's Name] for [Reason with date of occurrence of breach] on [Date]. This record must be placed in the employee's file or dossier for future reference.

(b) For this purpose, the offences based on their nature are categorized into 2 levels:

HR Policy - 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

(i) **Level 1 Offences.** These offences (minor misconduct) comprise irregularities that are not serious & committed for the first time, which will invite a lenient corrective action. The relevant corrective action could be just a counselling as listed above or a warning letter and the reported offence is to be recorded in the employees' dossier /file. These offenses are generally considered minor irregularities and are typically committed for the first time. They may warrant lenient corrective actions. Possible Level 1 offenses include the following list, though it is not limited to these items: -

(a) Habitual Tardiness: Arriving late habitually to work or meetings without valid reasons.

(b) Unauthorized Absences: Taking leave without prior approval or notification.

(c) Minor Violations of Dress Code: Failing to adhere to the prescribed dress code for the workplace.

(d) Failure to Follow Instructions: Not following minor directives or guidelines from supervisors.

(e) Minor Insubordination: Mild disrespect or refusal to follow instructions that do not jeopardize workplace safety or integrity.

(f) Minor Disruptive Behaviour: Engaging in low-level disruptive actions that do not significantly impact others or the work environment.

(g) Minor Negligence in Duties: Minor lapses in fulfilling job responsibilities, such as forgetting to complete a routine task.

(h) Minor Misuse of Institute Resources: Minor inappropriate use of institute resources, such as personal use of office supplies.

(i) Inadequate or Improper Communication: Failure to communicate effectively with colleagues or supervisors on non-critical issues.

(j) Poor Time Management: Inefficient use of work hours that does not significantly affect overall productivity.

(ii) **Level 2 Offences.** These offences (major misconduct) may denote serious irregularities or repeated commission of level-1 irregularities which may invite a stern corrective / disciplinary action. Highly sensitive irregularities & cases that attract action under India Penal Code like fraud, cheating, embezzlement, misrepresentation, manhandling, sexual harassment etc., or repeated committing of level 1 offences despite many opportunities to correct themselves shall invite mandatory inquiry & appropriate punishment as determined in these policies. The institute reserves the right to initiate suitable legal actions in addition to the punishments awarded. These offenses are classified as major misconduct and may involve serious irregularities or repeated violations of Level 1 offenses. They typically warrant stern corrective or disciplinary actions. Offenses that fall under the following list, though it is not limited to these items: -

(a) Fraud: Engaging in deceptive practices for personal or financial gain.

(b) Embezzlement: Misappropriation or theft of funds or property entrusted to an employee.

HR Policy - 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

- (c) Cheating:** Any act that compromises the integrity of assessments or evaluations, including academic dishonesty.
- (d) Misrepresentation:** Providing false information or credentials during the hiring process or in official documentation.
- (e) Sexual Harassment:** Any unwelcome behaviour of a sexual nature that creates a hostile work environment (duly identified by the Internal Complaints Committee – ICC). A detailed policy is given in Chapter 9.
- (f) Assault or Manhandling:** Any act of physical aggression or violence towards another individual.
- (g) Substance Abuse:** Use of illegal drugs or being under the influence of substances while on duty.
- (h) Repeated Level 1 Offenses:** Continuously committing Level 1 offenses despite being counselled or warned.
- (i) Disruptive Behaviour:** Severe disruptive conduct that significantly impacts the workplace environment or the well-being of colleagues.
- (j) Negligence Resulting in Harm:** Serious negligence in job responsibilities leading to harm or risk to others.
- (k) Violation of Confidentiality:** Unauthorized disclosure of sensitive or confidential information related to the institute, faculty, students, or staff.
- (l) Furnishing false information regarding name, age, father's name, qualifications, previous service or any other matter germane to the employment, at the time of employment or during the course employment.**
- (m) Conflict of Interest:** Engaging in activities or relationships that compromise the integrity of the employee's role within the institute.
- (n) Drunkenness or riotous or disorderly behaviour** in the office premises or outside such premises where such behaviour is related to, or connected with, the employment.
- (o) Insubordination:** disrespect or refusal to follow instructions that jeopardize workplace relationships, workplace safety or integrity.
- (p) Commission of any act which amounts to a criminal offence involving moral turpitude**
- (q) Participating in illegal strikes or abetting for the same**

2. The corrective actions for the Level 2 offenses may include mandatory inquiries, suspension, or termination of employment, as well as potential legal action as determined by institutional policies. The institute reserves the right to initiate appropriate legal proceedings in addition to disciplinary actions.

3. **Disciplinary Authority.** The Disciplinary Authority for IIT-Bangalore is the Director. The Director is the ultimate authority to take disciplinary action against faculty and staff. For administrative staff, the Registrar may serve as the Disciplinary Authority, often in cases related to non-serious offenses, with the explicit

HR Policy – 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

approval of the Director. Serious cases may still have to be escalated to the Director. The Disciplinary Authority has the legal and organizational right to:-

(a) Initiate Disciplinary Action – Decide to investigate allegations of misconduct, violations of rules, or poor performance.

(b) Conduct Inquiries – Oversee or authorize an inquiry process to gather facts and evidence regarding the alleged misconduct.

(c) Impose Penalties – Based on the findings of the inquiry, the Disciplinary Authority can impose penalties, such as warnings, demotions, dismissals, or other corrective actions as listed in this policy.

4. For Level 2 offences, it is essential that a Domestic Inquiry is conducted for disciplinary action. It is essential to follow a fair and just procedure to ensure compliance with principles of natural justice. This procedure typically involves issuing a Show Cause Notice, followed by a Charge Sheet if necessary. Both the Show Cause Notice and Charge Sheet are critical steps to ensure a fair domestic inquiry process. Issuing these documents correctly helps establish transparency, gives the employee a chance to defend, and ensures compliance with the law and organizational procedures. Following these steps in a structured manner helps avoid any legal complications and ensures that the process of inquiry is just and equitable for both the organization and the employee.

5. **Process of Issuing a Show Cause Notice.** Issuing a Show Cause Notice. A Show Cause Notice (SCN) is a preliminary step taken by the employer to inform the employee about an alleged act of misconduct and to give them an opportunity to explain their actions. The steps involved in issuing a Show Because Notice are as follows: -

(a) Identification of Misconduct: The office of Registrar identifies an act of misconduct based on reports, complaints, or incidents that warrant disciplinary action.

(b) Preparation of the Notice: A formal notice is prepared, clearly mentioning the nature of the misconduct, the date or period of the alleged misconduct, and a reference to relevant policies or clauses of the code of conduct in the HR policy manual.

(c) Explanation Opportunity: The notice asks the employee to submit a written explanation or response within 7 working days, justifying their actions or disproving the allegations.

(d) Delivery of the Notice: The Show Cause Notice is delivered to the employee in writing, either in person or via email/post, with a record of receipt maintained.

(e) Employee Response: The employee must be given an opportunity respond though the employee may provide their explanation or choose not to respond. Based on the employee's response, further action may be considered by the employer.

6. **Process of Issuing a Charge Sheet.** A Charge Sheet is a formal document that specifies the charges or allegations against the employee after preliminary investigation or unsatisfactory response to the Show Cause Notice. The steps involved are:

(a) Review of Show Cause Response: If the employee's response to the Show Cause Notice is deemed unsatisfactory, the Registrar proceeds to prepare a formal charge sheet.

(b) Drafting of Charges: The Charge Sheet (b) contains a detailed description of the charges against the employee, including the specific acts of misconduct, the relevant evidence or facts supporting the charges, and reference to institute policies that were violated.

HR Policy - 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

- (c) **Statement of Allegations:** A statement is included explaining the alleged breaches of discipline, along with the date(s) or period of the occurrence.
- (d) **Mention of Inquiry:** The Charge Sheet informs the employee that a domestic inquiry will be held to investigate the charges and allows the employee to present their defense during the inquiry.
- (e) **Delivery of the Charge Sheet:** The Charge Sheet is handed over to the employee, giving him or her an opportunity to respond to the charges before the inquiry begins.
- (f) **Employee's Reply:** The employee is asked to submit a reply within a specified time frame of seven working day.

Domestic Inquiry

7. A domestic inquiry is a formal process conducted to investigate an employee's alleged misconduct. The purpose of the inquiry is to ensure a fair and transparent procedure before any disciplinary action is taken. The process must follow the principles of natural justice to provide the accused employee a fair chance to present their case. The Disciplinary Authority (The Director) is to examine the charges for correctness and also seek a reply/ explanation from the Charge Sheeted employee. If no prima facie evidence exists, the Director may either not proceed further or have a preliminary investigation ordered to ascertain that the charges are supported by prima facie evidence. The following steps should be followed: -

8. **Suspension.** If deemed necessary, the employee may be suspended pending enquiry. The suspension order in such situations will be issued by the Appointing Authority. This suspension may be done if necessary, prior to issuing the charge sheet if the reply to Show Cause Notice is found unsatisfactory. Suspension is not a punishment. Suspension is typically used when an employee is under investigation for alleged misconduct or violations of rules. It serves to remove the individual from their duties to ensure a fair investigation without interference or influence. The suspension can be "**pending inquiry**" (temporary removal while an investigation is ongoing). This form of suspension is not regarded as a final disciplinary action or punishment but a step in the process to ensure procedural fairness.

(a) An employee under suspension is entitled to a subsistence allowance for up to six months, which is half of their salary at the time of suspension. If the suspension lasts longer than three months, the authority may reduce the allowance by up to 50% if the delay is caused by the employee. However, the authority can choose to keep the allowance unchanged if the delay is not the employee's fault. If the suspension extends beyond a year, the authority may increase the allowance up to 75% of the salary if the delay is not due to the employee.

(b) Salary for this purpose is the rate of basic salary + Special Allowance payable to him/her immediately prior to date of suspension.

(c) If the employee pleads guilty to the charges, the management may dispose off the case with suitable corrective / disciplinary action. Else if the management is satisfied with the reply may drop the charge sheet. If the reply is not found satisfactory, a domestic enquiry shall be conducted by any officer of IIT-Bangalore. Where considered necessary by the Director, an external inquiry officer may be appointed. The charge sheeted employee if he or she desires, may have the assistance of one person, who is not a lawyer.

(d) **Appointment of Inquiry Officer.** If the employee denies the charges or provides an unsatisfactory explanation, the employer must appoint an Inquiry Officer to conduct a fair and impartial investigation.

HR Policy - 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

The Inquiry Officer (IO) should not have any vested interest in the case. To the extent possible, the Inquiry Officer should be a woman if the charge sheeted employee is a woman. When felt appropriate Independent counsel (external consultant with legal /HR background where feasible). Director could also appoint an inquiry committee comprising 2 or more members. The IO / Inquiry committee shall not include any person/s who:

- (i) Are related to the person accused of the misconduct;
- (ii) Reports into or is reported into directly by the said 'Accused';
- (iii) Is known to or has past history of bias against or in favor of the Accused
- (iv) is a witness to the inquiry;
- (v) In case of inquiry into sexual harassment case, the committee member should not have had a complaint of sexual Harassment raised against him/her in the past

(e) Registrar will issue notice of inquiry nominating the IO / Inquiry committee, (preferably notifying the place & commencing time of assembly etc.), with a copy to the Accused and all concerned. He/she is to issue the Terms of inquiry to the IO / Inquiry Committee. If Registrar is likely to be the witness or Presenting Officer on behalf of the institute, the Director will issue the notice of inquiry.

(f) **Notice of Inquiry Hearing.** The Inquiry Officer issues a notice to both the employee and the management, informing them of the date, time, and place of the hearing. This notice gives the employee a chance to prepare their defense and present witnesses or evidence.

(g) **Appointment of Presenting Officer.** The Director is to appoint a Presenting Officer to represent the case on behalf of IIT-Bangalore. By convention, the Registrar is usually the Presenting Officer, however any suitable officer may be appointed as Presenting Officer.

(h) **Conducting the Inquiry.** The inquiry proceedings are conducted in the presence of both parties. The management represented by the Presenting Officer presents its case first, followed by the employee's defense. Witnesses can be called, and both parties can cross-examine each other's witnesses. The Inquiry Officer records the proceedings.

(i) The Employee shall be permitted to produce witnesses for his/her defense for which he/she has to make his/her own arrangements. The employee has a right to cross examine the witnesses brought in by the complainant on whose complaint the charge rests. The charged Employee will be supplied with a copy of the proceedings of enquiry on a daily basis or on closing of the inquiry proceedings. The inquiry officer shall submit the findings in writing and forward the same to the Director who shall, if the employee is guilty after taking into account the gravity of misconduct and the extenuating circumstances if any shall decide the punishment and communicate to the concerned charged employee(s).

(j) **Submission of Inquiry Report.** After completing the hearing, the Inquiry Officer prepares a report summarizing the findings and conclusions based on the evidence presented. The report should state whether the charges against the employee are proven or not. The report should be annexed with the daily proceedings and copies of evidences.

(k) **Role of Inquiry Officer (s):** The role of the Inquiry Officer(s) is primarily an impartial fact finding role and is generally not empowered to recommend or impose punitive actions. The inquiry report summarized the proceedings, analyzing the evidence and concluding whether the charges are proved, partial proved or 'not proved'

HR Policy - 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

(l) Decision by the Director. Based on the inquiry report, the Director makes the final decision on whether to impose disciplinary action. The action may include intended penalties such as warnings, suspension, or termination, depending on the severity of the misconduct.

(m) Communication of Decision. The Director's decision is communicated to the employee in writing as a 'Second Show Cause Notice.' This notice includes the outcome of the inquiry, the intended penalty, the inquiry officer's report, and the rationale behind the decision. It also seeks the employee's response as to why the proposed penalty should not be imposed.

9. Following points should be kept in mind during the Domestic Inquiry: -

(a) The Disciplinary Authority shall deliver or cause to be delivered to the Accused employee(s), a copy of the charge sheet or the statement of the imputations of misconduct or misbehavior and list of documents and/or witnesses by which each charge is proposed to be sustained and shall require the employee to reply to the Disciplinary Authority by such day and at such time (not exceeding 7 working days), to submit written statement of his defense and to state whether he desires to produce any evidence in his support.

(b) Before the date set, the employee shall submit the written statement of his defense. The Disciplinary Authority shall review whether he/she pleaded guilty or has any defense to make. If he/she pleads guilty to the charge(s), the Disciplinary Authority shall record findings of guilty in respect of those articles of charge to which the employee pleads guilty and take such evidence as it may think fit and dispose off the case with suitable penalty OR proceed with Inquiry if an Inquiry is mandatory in such cases, considering as if employee pleaded not guilty.

(c) Where the employee pleads not guilty to the charges or omits to plead, the Disciplinary Authority shall consider it to be plea of Not-guilty and may decide to hold inquiry itself or it may appoint an independent Inquiry Officer for holding inquiry into the charges

(d) When case is summarily disposed off without ordering further enquiry, due regard/consideration is to be given to the nature of misconduct whether inquiry is mandatory for such case.

(e) For all issues related to complaints of sexual harassment, Registrar will ensure that the duly constituted Internal Complaints Committee (ICC) or a suitable female committee member is included in Inquiry process.

(f) Where the Employee to whom a copy of the article of charge has been delivered does not submit the written statement of defense on or before the date specified for the purpose or does not appear in person before Disciplinary Authority, the Disciplinary Authority may decide to dispose the case ex-parte after communicating at the officially recorded address by Registered post. It will be a good compliance to place a notice of such order in the official notice board or issuance of paper publication in the local daily newspaper.

(g) The Disciplinary Authority shall forward to the Inquiring Officer

- (i) Terms / scope of enquiry
- (ii) Copies of article of charge and statement of imputations of misconduct or misbehavior.
- (iii) Copy of the written statement of defense if any submitted by the employee
- (iv) Copies of the statements of witnesses referred to
- (v) Copies of documents referred to
- (vi) Evidence proving the delivery of copies of the documents referred
- (vii) Copy of the order appointing "Presenting Officer"

HR Policy - 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

(h) After receiving the documents mentioned, if considered necessary, the Inquiry authority, may issue a notice of change of date / venue, in writing to the presenting Officer and also the Accused employee & witnesses to appear before him on such day or such time and place specified by him not exceeding five days from the date of original commencement. The Presiding Officer and employee shall appear before Inquiring Authority on the date fixed.

(i) The evidence of witness shall be recorded, preferably in chronological order, as far as possible on day-to-day basis, till the evidence on behalf of the presenting officer is completed.

(j) The Witnesses may be examined by or on behalf of the presenting Officer and shall be cross examined by or on behalf of the Accused Employee(s). Denial of cross-examination of any witness shall be recorded

(k) The Presenting Officer shall be entitled to re-examine the witnesses on any points on which they have been cross examined, but not on any new matter without the permission of the Inquiring Authority.

(l) The Inquiring Officer may also put such questions / seek clarifications as he thinks fit.

(m) If it appears necessary, before the closure of the case presentation by presenting officer, the Inquiring Authority may, in its discretion, allow the Presenting Officer to produce additional evidence not included in the list given to the employee or may call for new evidence or may recall and reexamine any witness.

(n) The Inquiring Authority shall give the Employee an opportunity of inspecting such evidence /documents before they are taken on the record.

(o) When the case for the Presenting authority is closed, the Accused employee shall be required to state his Defense and to submit a list of witnesses to be examined on his defense (for which purpose the case may be adjourned not exceeding 1 day). If the defense is made orally, it shall be recorded by the Inquiry officer and signature of the Accused employee obtained. Copy of statement of defense and list of defense witnesses shall be shown / forwarded to Presenting Officer. The case shall be adjourned if requested by presenting officer, not exceeding 1 day.

(p) If the Inquiring Officer after having heard whole or part of the evidence and is unable to continue or conduct further inquiry, the new Inquiring Officer Authority may be appointed and the succeeding IO may continue & act on the evidence recorded or partly recorded by its predecessor.

(q) The Inquiring Officer after completion of the production of evidence will permit Employee & presenting officer to file written briefs / summary of their respective case if they so desire. The Inquiring authority may record its deliberations as to the conduct of the witnesses / Accused i.e. his observations as relevant but not clearly emerging in the recorded evidence, to provide clarity to the proceedings. Such deliberations be recorded date wise and shall form part of the Inquiry proceedings.

(r) After conclusion of the inquiry, a report shall be prepared by IO and it shall contain Findings on each article of charge with reasons thereof and recommendations for admissible Penalty.

HR Policy - 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

(s) The Inquiring Officer shall forward to the Disciplinary Authority, records of inquiry which shall include:

- (i) Enquiry Report as stated above with
- (ii) Charge sheet(s) & the initial statement(s) of defense
- (iii) Oral and Documentary evidence recorded / produced during the course of inquiry
- (iv) Exhibits forming part of the proceedings
- (v) Written briefs filed, if any, by the Presenting Officer or Accused or both during the course of the inquiry.
- (vi) Deliberations recorded, if any, by the IO/ Inquiry committee
- (vii) Orders / communications forming part of the inquiry, issued by Disciplinary Authority and/or IO during the course of inquiry.

(t) The Disciplinary Authority will forward a final memo to the accused on the charges he is found guilty, calling for his submissions thereon if any, through an instrument called the "Second Show Cause Notice). On receipt of the submissions of the accused or if he fails to make any submissions within the time prescribed, the Disciplinary Authority will proceed further accordingly and act on the Inquiry proceedings.

(u) The Disciplinary Authority will forward a final memo to the accused on the charges he is found guilty, calling for his submissions thereon if any. On receipt of the submissions of the accused or if he fails to make any submissions within the time prescribed, the Disciplinary Authority will proceed further accordingly and act on the Inquiry proceedings.

(v) The Disciplinary Authority may accept the findings of the Inquiry officer and issue orders of penalty, with due regard to the submissions from the accused, considering the gravity of the charge(s) / past record of the employee, and issue Discipline order specifying the measure of Penalty and time limit for the accused if s/he wishes to appeal against the Discipline order.

10. Inquiry when not needed. No inquiry will be needed when the allegations and charges are accepted and/or admitted by an employee in writing.

11. PENALTIES - The following penalties may be imposed on an employee by the appointing authority if the enquiry has determined that the employee is guilty of the offence as charged, as hereinafter provided for:-

(a) MINOR PENALTIES

- (i) A formal conversation to address the issue and correct behavior without any written record in the dossier, but duly recorded with the HR & Process administrator.
- (ii) Censure or warning in writing after due counselling and recording the same.
- (iii) Temporarily assigning less significant tasks as a consequence of misconduct.

(b) MAJOR PENALTIES

- (i) Reduction to a lower grade or post.
- (ii) Dismissal
- (iii) Compulsory Retirement - The employee is forced to retire before reaching the normal retirement age due to misconduct, incompetence, or other disciplinary reasons.
- (iv) Withholding/pausing of an increment of pay with or without cumulative effect;

HR Policy - 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

(v) Withholding of promotion for a period to be stipulated by the appointing authority

(vi) Recovery from pay of the whole or part of any pecuniary loss caused to the Institute by the negligence or breach of orders or such other amount as may be due to him

12. Appellate Authority - The Appellate Authority in all disciplinary cases is the Governing Body of IITB-Bangalore which has the power to hear and decide on appeals against decisions made by the Disciplinary Authority. The Governing Body may appoint a Governing Body sub-committee comprising of members drawn from the Governing Body to hear and examine the appeal. The final decision will be that of the Governing Body. The purpose of the Appellate Authority is to provide a mechanism for review, ensuring fairness and accountability in the decision-making process. Delinquent(s) must exhaust this option prior to proceeding to a court of law or a labour court.

13. Period of Limitation for Appeals No appeal under this part shall be entertained unless the appeal is submitted within a period of one month from the date of the order, provided that the Appellate Authority may entertain the appeal after the expiry of the said period, if it is satisfied that the appellant had sufficient cause for not submitting the appeal in time.

14. Consideration of Appeal The process for Appeal consideration will be as follows:

(a) In the case of an appeal against an order imposing any of the penalties, the Appellate authority shall consider

(i) Whether the procedure laid down is complied with and if not, violation of any provisions of discipline policy or violation of Principles Natural justice.

(ii) Whether the findings of disciplinary authorities are warranted by the evidence on the record.

(iii) Whether the penalty or the enhanced penalty imposed is adequate, inadequate or severe

(iv) The Appellate authority shall pass such order, as to confirming, reducing or setting aside the penalty or remitting the case to the authority which imposed penalty.

15. Review. The Director has the authority to review any order made under the rules if new material or evidence, which was not available or could not be presented at the time the original order was passed, comes to light and significantly alters the case. However, no order imposing or increasing a penalty shall be issued by the Director without first providing the affected employee a reasonable opportunity to be heard.

16. Jurisdiction Any disputes relating to these rules will be subject to laws of the State of Karnataka and India in the Courts in Bengaluru, Karnataka shall have jurisdiction.

17. Expenses of Witnesses The expenses of witnesses called at the instance of the employee charge sheeted should be borne by him/her and those of other witnesses called at the discretion of the inquiring Authority, by the Institute.

18. Issue of Communications, Notices or Orders on Employees. Normally the Registrar will be the authorized person to communicate to the defaulting employees. The Registrar will communicate with employees as follows: -

(a) Any communication, notice, or order directed to an employee under these regulations should, if possible, be delivered personally. The employee will be required to acknowledge receipt by signing a duplicate copy of the communication.

(b) If personal delivery is not possible, the communication will be sent to the employee's last known address via registered post, official courier, or email (with delivery confirmation). The communication

HR Policy - 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES

will be considered delivered either when it reaches the employee or after 7 days from the date of the order, whichever is earlier, in cases where delivery could not be completed due to the employee's unavailability.

(c) Each employee is responsible for providing a contact address and email at the time of appointment, where communications can be sent when they are off duty. Employees must also inform the head of their office or unit of any changes to their address or email over time.

(d) If a communication is returned undelivered by post or courier, and personal delivery was not possible, a copy will be posted on the institute's notice board for at least 3 days. After this period, the communication will be considered served. Additionally, a brief advertisement in a local newspaper or on the institute's website may be used to notify about the availability of the notice on the notice board.

(e) If all other methods of communication fail, the communication, notice, or order will be sent to the employee's last known email address. The email delivered to the inbox of above email will be considered as proof of delivery, if no reply received.

19. **Serving of Notices** Following need to be considered: -

(a) Notices to individual employees shall be intimated through any suitable mode of communication including by post and/or by e-mail on the address /mail-id last declared by the employee.

(b) Any notice or Charge required to be delivered to an employee may be served personally or by Registered Post addressed to the Employee at the last address furnished by him. If an Employee is not found or evades, or refuses service, a copy may be posted on the notice board and such posting shall constitute adequate service of notice.

(c) All notices required to be posted under the Service Rules shall be in English and/or Kannada and will be kept in legible and clean condition

20. **Disciplinary Proceedings On Vendor Employees Working For IIIT-Bangalore.** The policy on Vendor Discipline and jurisdiction is as follows:-

(a) Vendors' employees to respect the work culture & work ethos of IIIT-Bangalore while working at our premises.

(b) CAO shall coordinate for necessary action by the vendor in case of any objectionable behavior by their employees.

21. Specific Agreement to Prevail If an employee is employed by the Institute under a specific agreement signed by both the parties, the terms of that agreement shall govern his/her employment, to the extent that differs from the provisions of these Service Rules, and for the rest of the matters these Service Rules shall apply to him.

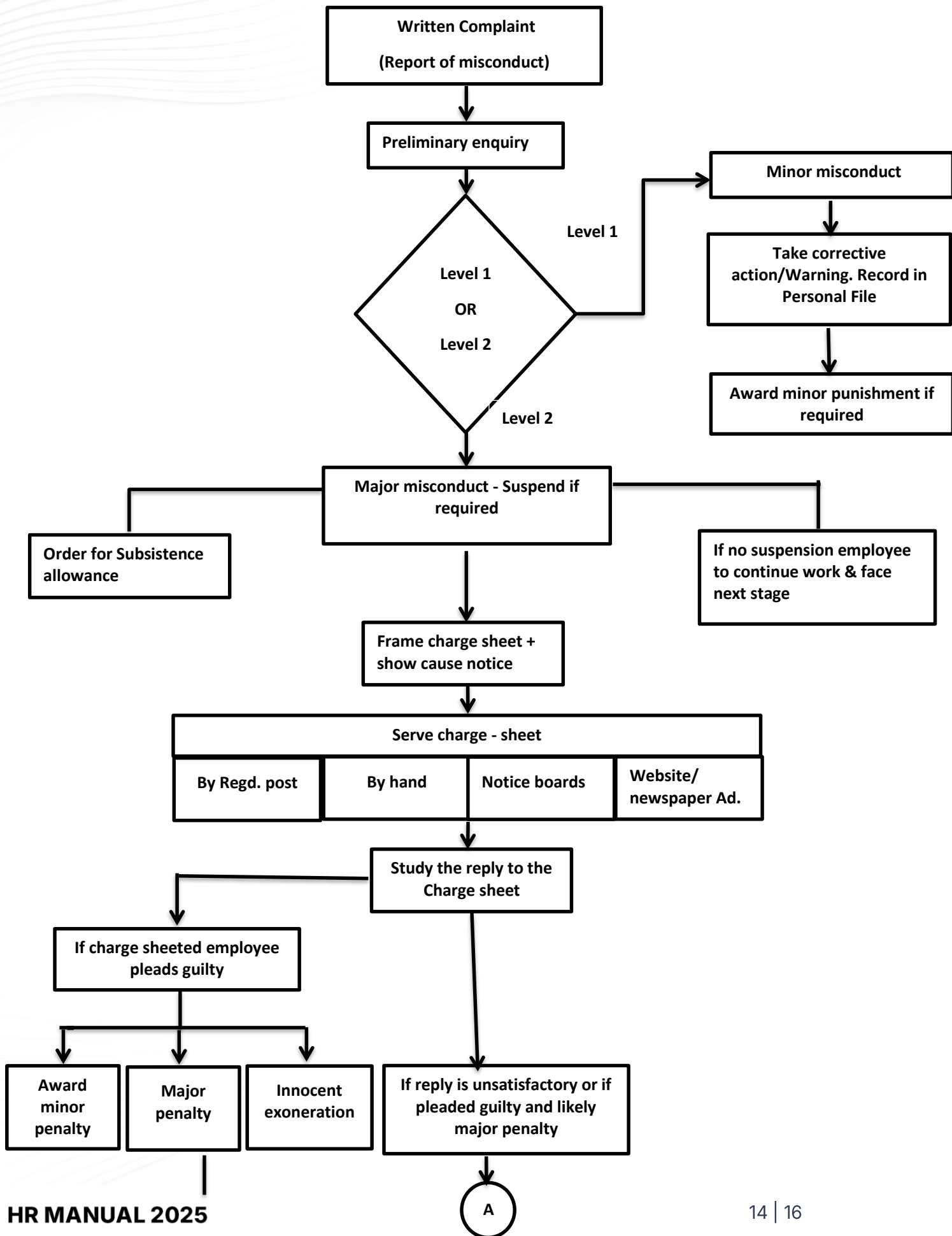
22. **Special Provisions.** Notwithstanding anything contained in Service Rules above: -

(a) No enquiry is necessary before taking disciplinary action in cases where an employee has been convicted by a Court of Law for any offence involving moral turpitude

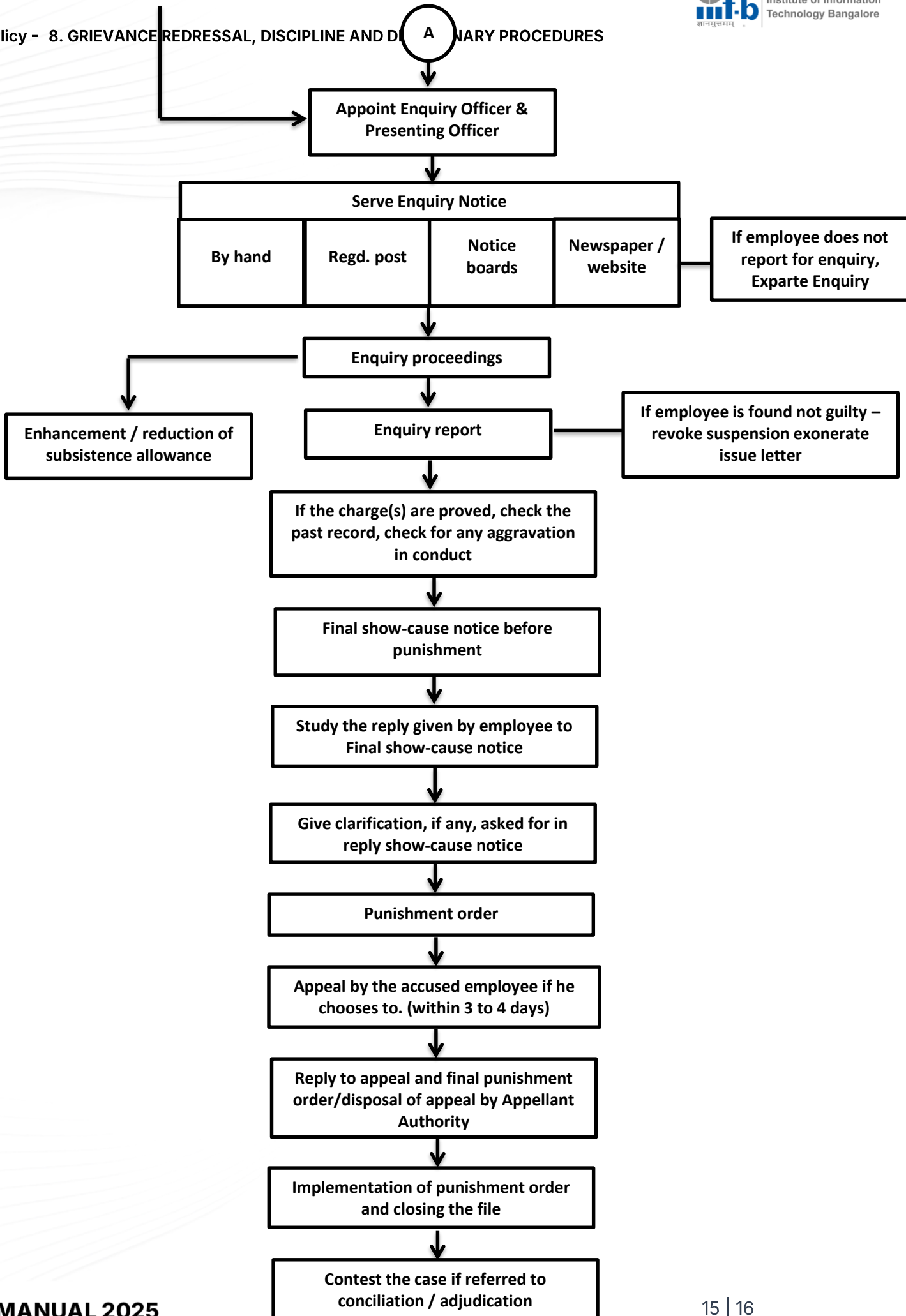
(b) No inquiry is necessary when the Management is satisfied that it is impracticable or inexpedient for reasons to be recorded in writing, the employee may be discharged from service with due notice as applicable to him/her as per terms of offer / appointment.

23. A flow chart of the above disciplinary procedure is appended at the end of the chapter.

IIIT-BANGALORE- FLOW-CHART OF DISCIPLINARY PROCEEDINGS



HR Policy - 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DEPARTMENTARY PROCEDURES



HR Policy - 8. GRIEVANCE REDRESSAL, DISCIPLINE AND DISCIPLINARY PROCEDURES