



NEW HORIZON COLLEGE OF ENGINEERING

New Horizon Knowledge Park, Ring Road, Marathalli

Autonomous College Permanently Affiliated to VTU, Approved by AICTE & UGC

Accredited by **NAAC** with 'A' Grade, Accredited by **NBA**

HR POLICIES



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HR POLICIES HANDBOOK 2019

FOREWORD

Dear Colleague:

We are pleased to present to you a HR Policies Handbook related to the staff detailing all the updated policies of New Horizon College of Engineering.

We request you to read and get familiar with the policies.

You may feel free to contact the undersigned for any clarifications.

We wish you a very fulfilling association with NHCE.

With Warm Regards,

Head – Human Resources

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DESIGNATIONS

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

Principal	System Administrator
Sr. Executive Director	Programmer
Executive Director	Foremen
Director	Lab Instructor
Dean	Lab Assistant
Registrar	Asst. Lab Instructor
Head of the Department	Lab Technician
Controller of Examination	Education Program Analyst
Chief Librarian	Physical Education Director
Senior Professor	Physical Education Instructor
Professor	Data Entry Operator
Sr. Associate Professor	Front Office Executive
Associate Professor	Warden - Boys Hostel
Sr. Assistant Professor	Warden - Girls Hostel
Assistant Professor (2)	Training & Placement Officer
Assistant Professor (1)	Asst. Training & Placement Officer
Life Skills Trainer	Sr. Training & Placement Officer
Assistant Registrar	Manager - Placement & Training
Deputy Controller of Examinations	Staff Nurse
Senior Office Executive	Web Developer
Office Executive	Graphic Designer
HR – Generalist	Secretary
HR – Recruitments	Personal Assistant
Student Counsellor	Chief Security Officer
Sr. Admission Officer	Security Officer
Admission Officer	Assistant Security Officer
Admission Counsellor	Project Manager
Admission Executive	Quantity Surveyor
Library Officer	Estate Manager
Library Executive	Purchase Officer
Sr. Accountant	Executive - Facilities
Sr. Accounts Executive	House Keeping Supervisor
Accounts Executive	Gym Trainer
Administrator	Store Keeper
	Out Door Assistant

Chapter I

RECRUITMENT POLICY

1.1 Objective

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

1.2 Applicability

All new recruits in all grades

1.3 Policy & Procedure

- 1.3.1 The approved recruitment policy will be a pre-requisite for all recruitment in the institution.
- 1.3.2 Any departure from the Recruitment policy, will need special approval from the appropriate approving authority. The concerned HOD is to get in touch with HR Department with the details of the manpower required. HR will then seek approval of the Chairman, and only then proceed with the process of recruitment. HR shall prepare a detailed job description for the position to be filled up, in consultation with the concerned department.
- 1.3.3 HR shall source the profiles for the required position, through various sources viz., advertisements (newspapers, portals...), consultants, internal reference etc.
- 1.3.4 HR shall screen and shortlist the profiles depending on their suitability for the position. The list of shortlisted profiles will be communicated to the concerned HOD and Principal.
- 1.3.5 HR will coordinate the entire process of conducting the interviews.
- 1.3.6 Depending on the grade/level of the position being recruited, the interview panel / selection committee will consist of the concerned department HOD, Principal, Subject experts and HR - Head. The selection panel evaluates the candidate based on a set of predefined criteria. Acceptance or rejection of candidates is at the sole discretion of the institution.
- 1.3.7 At the time of appointment, the selected candidates are required to submit all relevant academic certificates and testimonials in original. They will be in the safe custody of the institution and will be returned to them when they leave the institution.

Chapter II

PROBATION POLICY

- 2.1 Objective**
To assess the potential and suitability of the candidate selected and hired for the vacant post.
- 2.2 Eligibility & Coverage**
- 2.2.1 All new recruits of the institution on regular rolls.
- 2.2.2 Policy & Procedural Formalities for Completion of Probation.
- 2.2.3 All new employees will be on probation for a period of 12 months from the date of joining.
- 2.2.4 While the formal probation appraisal shall be at the end of 11 months, the concerned Principal / Director / ED/ Registrar/Dean/ HOD will review the performance of the probationer on completion of 1st month, 3rd month, 6th month and 11th month. These assessments will be on the broad parameters of Discipline, Attitude, Application, Job Knowledge, and group values. The final role fitment report will be submitted to HR Department.
- 2.2.5 The Principal / Director / HOD/ Registrar/Dean will discuss the performance of the probationer and record the employee's strengths and required areas of improvement in the personal file of the employee.
- 2.2.6 Duly completed Probationary Role Fitment report with the recommendations of the Principal / Executive Director / Director / Registrar/ Dean / HOD for confirmation, will be sent to HR Department at least two weeks before the completion of the probation period.
- 2.2.7 During the period of probation, an employee shall be liable to be discharged from the service without assigning any reason, at the sole discretion of the Management without giving any notice.

2.2.8 During probation, no request for resignation will be entertained. In case, the probationary staff leaves the job then the notice period pay will be applicable.

2.2.9 The management may, at its sole discretion, accept notice pay in lieu of the notice period. Notice pay shall mean gross salary of the employee including allowances, if any.

2.3 Extension of Probation Period

2.3.1 Instances where an employee does not meet the required standards of performance, the Principal / Executive Director / Director / Dean / HOD may recommend extension of the probation for a maximum of six months.

2.3.2 Probation period may be extended under any of the following circumstances:

2.3.3 Performance of the probationer is not up to expectations, but showing interest in improving

2.3.4 The role and the skills of the probationer are not aligned

2.3.5 A mutually agreed and detailed Role Fitment Report involving counselling and training will be documented and areas of improvement clearly communicated to the employee.

2.3.6 The probation may be extended only once. When probation is extended for an employee, the Principal / Executive Director / Director / Dean / HOD shall send the Probationary Role Fitment report to HR Department at least 15 days before the expiry of probation, clearly stating the reasons for extension. HR will send necessary reminders in time.

2.3.7 Based on the recommendation of the Principal / Executive Director / Director / Dean / HOD, HR Department will formally communicate the extension of the probation through a letter to the employee through the Principal / Executive Director / Director / Dean / HOD.

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

- 2.3.9 If the probationer's performance remains unsatisfactory after the extended probation, his or her services may be summarily terminated, without assigning any reason.

2.4 Confirmation of services

- 2.4.1 On successful completion of the probation, the services of the probationer will be confirmed as per the terms of appointment.
- 2.4.2 Upon confirmation, the notice period on either side will be two months for teaching, non-teaching, library and technical staff, three months for Principal / Executive Director / Director / Dean / Heads of the Department. It is mandatory to serve the notice period and the option of offsetting the notice period, partly or fully will be at the sole discretion of the management. The Management may also, at its sole discretion, accept notice pay in lieu of the notice period. Notice pay shall mean gross salary of the employee.
- 2.4.3 In case, any permanent faculty wishes to resign / desire to get relieved, he / she shall give two months advance notice, for Principal / Sr. Executive Director / Executive Director / Director / Dean / Registrar / HODs of Academic and Non Academic department it shall be three months notice period, for technical, library and non-teaching staff members it shall be two months notice period in such a way it is coinciding with the end of the semester.
- 2.4.4 If any staff member resigns within two months of semester beginning and wants to get relieved immediately, he / she needs to pay notice period gross salary to the institution and also has to pay the equal amount of salary drawn during semester break.
- 2.4.5 The working hours of the staff members shall be eight hours from Monday to Friday. First and Third Saturday of every month will be a holiday and second and fourth Saturday is full working day and fifth Saturday will be half a day working. The working hours may be amended by the Head of the Institution / Management as and when required, suiting the needs of the institution.
- 2.4.6 In case, the work or conduct of a staff member is found to be unsatisfactory or if he / she absents himself / herself without prior intimation or disobeys the rules and regulations of the institution or violates the instructions issued by the Principal / Management, he / she is liable to be terminated from the service, without any prior notice.

Chapter III

INDUCTION POLICY

3.1 Objective

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

3.2 Applicability

All new employees of the institution

3.3 Policy

- 3.3.1 The HR Department shall ensure that every employee, irrespective of grade, goes through an Orientation Program, which will be mandatory for the employee to attend.
- 3.3.2 The duration and scope of Orientation program may vary with the grade of the employee and the depth of information that needs to be shared during induction.
- 3.3.3 The Orientation program shall include the following:
 - 3.3.4 Introduction to the Institution
 - 3.3.5 Institution Vision, Mission, Values and Quality Policy
 - 3.3.6 Introduction to HR Policies
 - 3.3.7 Introduction to key officials
 - 3.3.8 Welfare measures
 - 3.3.9 Work culture

Chapter IV

MEDICLAIM AND PERSONAL ACCIDENT INSURANCE

4.1 Objective

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

4.2 Eligibility & Applicability

- 4.2.1 All regular employees of the institution, including probationers will be covered.
- 4.2.2 Mediciam Insurance coverage is applicable for the teaching and non teaching / technical employees.

4.3 Policy & Procedure

- 4.3.1 Mediciam Insurance
- 4.3.2 A minimum hospitalization of 24 hours is a pre-condition for any claim, for ailments as covered under the Mediciam Policy.
- 4.3.3 Annual entitlement of Medical Insurance is Rs.2,00,000/- (Rupees Two Lakhs only). This can be used only by the individual employee.
- 4.3.4 All claims are governed by the terms & conditions agreed between the Insurance company and the employee under the Mediciam Insurance Policy.
- 4.3.5 In all disputes arising in respect of medical insurance, the decision of the Management shall be final.

4.4 Personal Accident Insurance

- 4.4.1 Applicability: To all the Drivers, Purchase Officers and Outdoor assistants.
- 4.4.2 Annual entitlement of Personal Accident Insurance is Rs.10,00,000/- (Rupees Ten Lakhs only) and also eligible for Mediciam of Rs. 2,00,000/- This can be used only by the individual employee.
- 4.4.3 All claims are administered / settled as per the terms & conditions between the Insurer and the institution under the Personal Accident Insurance Policy.

Chapter V

ESI BENEFIT

- 5.1** All Employees who are drawing a gross salary of INR 21000 and below, covered under ESI Act , are entitled for the benefits as mentioned below, administered by ESI Corporation:
 - 5.1.1 Medical Benefit
 - 5.1.2 Sickness Benefit
 - 5.1.3 Extended Sickness Benefit
 - 5.1.4 Temporary and Permanent Disablement Benefit
 - 5.1.5 Dependents Benefit
 - 5.1.6 Maternity benefit
 - 5.1.7 Rajiv Gandhi Shramik Kalyana Yojana
 - 5.1.8 Funeral Expenses
 - 5.1.9 Confinement expenses
 - 5.1.10 Medical care to retired insured persons

Chapter VI

TUITION FEE CONCESSION AT NEW HORIZON

- 6.1 Objective**
To provide employee welfare through tuition fee concession to the dependent children of employees who opt for admission into the Institution.
- 6.2 Eligibility & Applicability**
All regular employees who have completed two years of service in New Horizon are eligible for fee concession for a maximum of two children.
- 6.3 Policy & Procedure**
- 6.3.1 The child will be entitled for 50% concession in the tuition fees for all the years.
- 6.3.2 Those seeking this concession shall apply in the prescribed format with requisite details and supporting documents to Senior Executive Director – Accounts and Finance.
- 6.3.3 Accounts Department will check all the relevant documents for processing and approval and will arrange for the disbursement of the amount. The reimbursement shall be made annually.
- 6.3.4 In the event of separation of an employee from the institution, the fee concession will be stopped with immediate effect. However, the Financial Assistance already extended shall be waived, provided the separation is not on disciplinary grounds.

Chapter VII

REIMBURSEMENT OF TELEPHONE EXPENSES

7.1 Objective

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

7.2 Eligibility & Applicability

- 7.2.1 Regular employees of New Horizon, working in Administration, Accounts, Training & Placement, other shared services, etc., depending upon work exigency and special approval of Chairman.
- 7.2.2 The eligibility limits specified for each grade shall be decided by the Management from time to time and is subject to changes at the sole discretion of the management.

7.3 Policy & Procedure

- 7.3.1 The mobile allowance is provided strictly on need basis with special approval of the Chairman.
- 7.3.2 All mobile phone bills shall be settled directly by the employees and reimbursement claimed at actual or based on eligibility, whichever is lower.
- 7.3.3 In case the bill amount exceeds the grade-wise eligibility approved, the reimbursement shall not exceed the specified limit mentioned against each grade, unless there is a special approval.
- 7.3.4 Any exception to the reimbursement limit would be approved only upon proper justification and will be done as an exception and not resorted to as a routine practice.
- 7.3.5 Employees shall settle their phone bill on a monthly basis & claim eligible reimbursement from the Accounts Department.
- 7.3.6 This facility is provided to a few employees, based on their need and nature of work.

Chapter VIII

INCENTIVE POLICY FOR RESEARCH AND PUBLICATIONS

8.1 Preamble

The policy is to promote research activities in the institution is developed to give extra fillip to research, publication and other related activities.

8.2 Objective

To give special thrust to research culture in the Institution, and thus improve the profile of the Institution in the country.

8.3 Policy and Guidelines

8.3.1 Incentive for completing Ph.D Degree when in service of NHEI.

8.3.2 For the purposes of incentive under this clause, ordinarily, the degree will be awarded by the University or an Institution of national standing. The faculty undertaking their PhD pursuit is advised to check with the Institution about the University they are registered under, to ascertain the credibility of such University. The Institution will also pro-actively advise the faculty on the credibility of relevant Universities.

8.3.3 For the purposes of the award, a Ph.D will be deemed to have been completed when a Certificate of Successful Thesis Defense is formally issued by the University awarding the degree.

8.3.4 On receiving Ph.D degree, four increments shall be given to the faculty member in the existing pay scale.

8.3.5 In case a faculty is promoted along with completion of Ph. D, two additional increments over the minimum basic salary applicable to the new position will be payable.

8.4 Incentive for Paper Publication

It is expected that in an academic year, every faculty member should publish minimum two papers in approved list of journals. In case more than two papers are published, they are entitled for a cash incentive of Rs.2000/- (Rupees Two Thousand only) per paper.

8.5 Incentive for Patents

In order to encourage and motivate faculty members for filing more number of patents, Rs.2000/- each will be paid for filing the patents and Rs.3000/- each will be paid on approval of the patents by the concerned patent office.

8.6 Incentive for participation in Workshop / Seminar / Conference

The faculty members are expected to participate in minimum of two workshop / seminar / conference in an academic year, conducted by External Agencies. Registration charges up to Rs.2000/- (Rupees Two Thousand only) shall be paid only for two workshops or seminars or conferences per faculty. Also they can utilize OODs for attending the same.

8.7 Incentive for sponsored Research Projects

Financial incentives to Principal Investigator/Co-Principal Investigator shall be provided @ 8%, HODs @ 1% and Dean – R & D / Principal @ 1% of the Project Value. OOD can be utilized for meeting / presentation to the Funding Agencies.

8.8 Incentive for Consultancy Projects

8.8.1 Financial incentives to Principal Investigator/Co-Principal Investigator shall be provided @ 70%, HODs @ 10%, NHCE Corpus Fund @ 10% and Employees of concerned lab @ 10% of the balance amount of Project Value after meeting the actual expenditure to complete the project.

8.8.2 In case of Testing Projects, Incentives to Principal Investigator / Co-Principal Investigator @ 50%, HODs @ 20%, NHCE Corpus Fund @ 20% and Employees of concerned lab @ 10% of the balance amount of Project Value after meeting the actual expenditure to complete the project.

8.8.3 OOD will be provided for meeting / presentation to the concerned agencies.

8.9 Faculty Development Programme (FDP)/Staff Development Programme (SDP)

- 8.9.1 Members of the staff are encouraged to participate in Workshops/SDP/FDP, as may be decided by the Institution from time to time.
- 8.9.2 Faculty members attending a program of more than three days duration shall plan their participation in the semester break/summer vacation so that the academic schedule of the students remains undisturbed. Members of the faculty pursuing their PhD part time are also encouraged to attend summer training programs organized by reputed institutions.
- 8.9.3 Eligibility for such programs shall be restricted to two staff members per semester from a department. In general, programmes sponsored by AICTE/ISTE/DST and other instances where the host institution takes care of significant portion of the training cost shall be given priority, and the faculty will be given Academic Leave (OOD) for the period.

Chapter IX

STAFF REFERRAL INCENTIVE POLICY

- 9.1 Objective**
To provide incentive to existing staff members to refer and bring in external candidates to New Horizon
- 9.2 Eligibility**
All staff members on rolls
- 9.3 Policy and Procedure**
- 9.3.1 Staff referring (Referee) a candidate for appointment to New Horizon shall ask the referred candidate to attach the Staff Referral Form to his or her application form when applying to the Institution.
- 9.3.2 The referral incentive shall be paid to the Referee, after the referred candidate completes at least three months of service with New Horizon.
- 9.3.3 The referral incentive shall be :
- 9.3.4 Rs.5000/- per candidate to the Referee who refers any candidate for the post of teaching staff.
- 9.3.5 Rs.2000/- per candidate to the Referee who refers any candidate for the post of non teaching staff.

Chapter X

LAPTOP POLICY

- 10.1 Objective**
To provide a more technology-enabled work culture, and move towards a paperless work environment.
- 10.2 Eligibility & Applicability**
- 10.2.1 All teaching faculty, with a service of at least six months at New Horizon.
- 10.2.2 All key positions from Non-teaching staff on special approval of Chairman.
- 10.3 Policy & Procedure**
- 10.3.1 New Horizon will provide interest free loan for procurement of a new laptop, subject to a maximum of Rs. 30,000/- (Rupees Thirty Thousand only).
- 10.3.2 The facility will be available once every four years for the faculty, meaning, the gap between availing of one loan and the next under this head shall be at least four years.
- 10.3.3 The loan shall be recovered in 10 equal instalments from the end of the month in which the loan is availed.
- 10.3.4 Until the loan has been discharged fully, the laptop shall be considered the property of the Institution.
- 10.3.5 Approval of the loan will be at the sole discretion of the Management.

Chapter XI

LOCAL CONVEYANCE REIMBURSEMENT

11.1 Objective

To govern the reimbursement of local conveyance expenses.

11.2 Eligibility & Applicability

All employees on regular rolls of New Horizon.

11.3 Policy & Procedure

11.3.1 Employees using taxis for official purpose are entitled to claim reimbursement at actual.

11.3.2 Reimbursement should be claimed on a weekly basis.

Chapter XII TRAVEL AND DEARANCE ALLOWANCES POLICY

- 12.1** Employees are entitled to travelling allowances (TA) & daily allowances (DA) based on the basic pay range category as indicated below:

Gradation of Employees (Excluding Sports department)	
Category	Description
A	Management, Executive Director, Director, Principal, Dean , Registrar, Heads of Academic departments, Controller of Examination
B	Professor, Associate Professor, Heads of non-academic Departments, Deputy Registrar, Assistant registrar, Training & Placement Officer
C	Assistant Professor, Sr. Asst. Professor
D	Technical & Non - Teaching

- 12.2** The deputation for the college/school on duty purpose can claim these benefits.

ITEMS	Category			
	A	B	C	D
Travelling Allowance				
1.Travel by air within state & outside state	Eligible	*	-	-
2. Travel by train	I Class AC	II AC	III AC	II Class Sleeper
3.Travel by bus	Highest grade	AC Volvo	Deluxe	Ordinary
4.By taxi/own vehicle	As per actual	Rs.10/- per KM	Rs .5/-per KM	-
Daily allowance				
(a)Within Karnataka				
Bangalore	Rs.350/-	Rs.275/-	Rs.225/-	Rs.150/-
Cities**	Rs.275/-	Rs.225/-	Rs.175/-	Rs.100/-
Other Places	Rs. 225/-	Rs. 175/-	Rs .150/-	Rs.100/-
(b) Outside Karnataka				
Cities**	Rs. 450/-	Rs.350/-	Rs. 300/-	Rs. 225/-

Other Places	Rs. 300/-	Rs. 275/-	Rs.225/-	Rs. 175/-
Lodging				
(a)Within Karnataka				
Cities**	Rs.2000/-	Rs.1500/-	Rs.1000/-	Rs. 750/-
Other Places	Rs. 1500/-	Rs. 1000/-	Rs. 750/-	Rs. 500/-
(b)Outside Karnataka				
Cities***	Rs.3000/-	Rs.1500/-	Rs. 1000/-	Rs. 1000/-
Other places	Rs. 2000/-	Rs. 1000/-	Rs. 750/-	Rs. 750/-

**For Physical Education Department Staff
Daily Allowance**

(a) Within Karnataka	
Bangalore	Rs. 150/-
Cities**	Rs. 100/-
Other Places	Rs. 100/-
(b) Outside Karnataka	
Cities**	Rs. 225/-
Other Places	Rs. 175/-

Travelling Allowance

1. Travel by train	III AC
2. Travel by bus	Deluxe
3. By taxi / own vehicle	Rs. 5/- per KM

Lodging

(a) Within Karnataka	
Cities**	Rs. 750/-
Other Places	Rs. 500/-
(b) Outside Karnataka	
Cities**	Rs. 1000/-
Other Places	Rs. 750/-

Note:

- 12.3** Travelling allowance/Daily allowance/Lodging is not additional income but only the reimbursement of expenses to norms. Wherever the expenses are less than the maximum indicated, the institution shall pay only actual.
- 12.4** All hotel stay shall be supported by vouchers/bills and reimbursement to actual subjected to the above limits. DA need not be supported with bills.
- DA is paid as follows in a day of 24 hours:
 - Up to 6 hours – Nil
 - 6 to 12 hours – 50%
 - More than 12 hours – 100%
- 12.5** Journey from Institution and return to Institution is part of the DA entitled period.
- 12.6** TA & DA is for deputation to higher studies /training/ Seminar/ conference/
- 12.7** workshop/tour for student counselling/ official works with VTU, AICTE or other controlling authorities. The period spent on the above purpose will be treated as on duty & eligible for TA & DA as mentioned above. TA & DA is only admissible, if the organizing authority is not ready to pay.
- 12.8** Wherever possible, staff members are to share transport and also to use transport if provided by outside agencies. In case of sharing, only one of the staff will claim the conveyance charges.
- 12.9** DA is not permissible for the days the staff member is on leave while on tour.
- 12.10** The claim with the supporting vouchers and letters should be submitted within one week on return to headquarters.

Chapter XIII

POLICY ON PERSONAL USE OF OFFICIAL VEHICLE

13.1 Preamble

Certain key employees are permitted free use of official vehicle by the management for personal use. While use of official vehicles for personal use is not encouraged in general, occasionally such requests keep coming. This policy lays down the conditions for such use.

13.2 Objective

To provide for the use of office vehicles, subject to availability, for personal use by certain *Key employees* from time to time

13.3 Eligibility and coverage

- 13.3.1 The Key Employees for the purpose of this policy shall be Principal, Director, Registrar and Heads of the Departments. Eligible employees may be permitted at the rate of Rs. 12/- per km.
- 13.3.2 Such use is not a matter of right and the eligible employees are advised to use the facility sparingly.
- 13.3.3 The approval authority shall be Chairman.
- 13.3.4 The relevant charges will be paid by the eligible employee directly to Accounts Department.
- 13.3.5 The charges will be settled within 7 working days. When seeking payroll deduction, the deduction must be effected in the same month or, (in case the travel happened in the last five days of a month) in the immediately following month.
- 13.3.6 The rate specified is subject to revision from time to time.
- 13.3.7 While the main log book will reflect all movements of a vehicle, a separate log book recording all personal use by eligible employees will also be maintained in each vehicle.
- 13.3.8 Employee shall email a soft copy of the Vehicle Requisition Form to Chairman's office with all the required details. After the vehicle is used, Transport department will fill in the meter reading at the time of start and end of the journey, and then forward the requisition to the Accounts Departments.

Chapter XIV LEAVE POLICY

14.1 Objective

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

14.2 Eligibility & Applicability

All employees on regular rolls of the Institution.

14.3 Policy & Procedure

- 14.3.1 Categories of leave available to the employees are: Casual Leave, Maternity Leave, Earned Leave, Compensatory Off, Vacation, and Leave without Pay.
- 14.3.2 For the purpose of leave, "Year" shall mean the Calendar Year commencing 1st January and ending 31st December.
- 14.3.3 All leaves shall accrue effective 1st January of every Year on real time basis.
- 14.3.4 Employees shall apply for leave on prescribed formats or on-line or by uploading the information in the online platform on the institution.
- 14.3.5 Holidays and weekly-offs between the leaves will be treated as a part of leave only.
- 14.3.6 Entitlement & Procedure for availing Leaves:
 - 14.4 Casual Leave (CL)**
 - 14.4.1 All Employees are eligible for 12 days of CL in a calendar year, which shall be credited to them upon joining, on pro-rata basis, until the completion of one year of service.
 - 14.4.2 Employees may avail CL for half-day also.
 - 14.4.3 CL may be prefixed or suffixed to intervening holidays or weekends but not on both the sides.

- 14.4.4 Un-availed CL will automatically lapse at the end of the calendar year.
- 14.4.5 All permanent teaching, technical and non-teaching staff members are entitled to twelve days of Casual leave (C.L.) in a calendar year.
- 14.4.6 Six days of CLs will be credited in advance on Jan 1st and remaining Six CLs will be credited in advance on July 1st of each calendar year.
- 14.4.7 Part - time employees are not entitled for any kinds of leave.
- 14.4.8 The permanent employee can avail Casual leaves up to 3 days at a time.
- 14.4.9 The Competent Authority can sanction up to 3 days of casual leave to staff members. The casual leaves beyond 3 days shall be the approved by the Chairman in case of extreme emergency.
- 14.4.10 C.L. shall not be availed without prior sanction of the sanctioning authority. The sanctioning authority may refuse to grant C.L., if he /she feel that the work cannot be managed due to functional reasons. In exceptional cases such as, an emergency caused due to sudden illness or death in the family, information shall be sent to the respective leave sanctioning authority in time enabling them to arrange a substitute.
- 14.4.11 Casual leave availed on Saturday will be considered as one full casual leave.
- 14.4.12 If the casual leave is both prefixed and suffixed to general holidays, then one side of the holiday is included as a casual leave. If a casual leave is not available, then the leave will be considered as leave without pay.
- 14.4.13 Leave without pay shall be granted in continuation of casual leave on special Occasions / Emergencies.
- 14.4.14 Staying away from duty without prior permission in the normal circumstances will be construed as absence without leave, resulting in loss of pay. Each day of unauthorised shall be liable to two days of pay deduction.

- 14.4.15 No leave of any kind can be availed without prior sanctions. Absence without prior permission will be treated as Loss of Pay (L.O.P). Such absence may subsequently be regularized as C.L. if the competent authorities are satisfied with the given circumstances. Repeated absence without prior permission will be viewed as an act of indiscipline and suitable action will be initiated. If the leave application is not submitted properly and in time, the leave will be rejected and for two days of unauthorized leave, one day salary will be deducted and necessary entries shall be made to record the same.
- 14.4.16 In the event that one does not have C.L. to his/her credit, the absence with prior permission will be treated as leave without pay.
- 14.4.17 Staff members frequently applying for leave due to sickness will have to produce medical and physical fitness certificates from a registered medical practitioner.
- 14.4.18 10 minutes grace time is allowed for reporting to duty. If the employee reports beyond the grace time, is considered as ½ CL or ½ LOP.

14.5 Maternity Leave (ML)

- 14.5.1 The Institution permits ML of one semester break for teaching staff, to be availed at the convenience of the mother-to-be. The leave period includes weekends and holidays. All permanent female employees who have put in not less than two years of service in New Horizon are eligible for Maternity leave. Maternity leave shall be limited to an employee's first two confinements. The employee shall inform the Principal /Executive Director / Director / HOD at least 8 weeks prior to proceeding on leave with appropriate Medical Certificate. ML will be in addition to other leave facilities of the Institute and shall not be prefixed or suffixed with any other kind of leave. Teaching women employee may report back at the commencement of the next semester with full pay of two months' only.
- 14.5.2 Non teaching and technical female employees may avail Maternity leave up to 90 days, both pre-natal and post –natal with full pay for two months' only.

14.5.3 Maternity leave shall be granted on the condition that such employee shall serve or shall have served any of the institutions belonging to the New Horizon Educational Institution for a period not less than two continuous years, failing which her leave shall be considered as “leave with loss of pay”.

14.5.4 Maternity Leave benefits will be given on returning to work. Woman employee returned back after maternity period, if resigns within one academic year, shall pay the benefits received during maternity period and will be liable as per the Exit policy.

14.5.5 If any teaching / non teaching / technical women employee while on maternity leave wishes to resign from the post are required to pay the notice period (as per the institution’s exit policy) pay to the institution.

14.6 Compensatory Off (CO)

14.6.1 CO applies to teaching, non teaching and technical employees. If an employee is called upon to work during the weekend or a public holiday for more than half a day, equivalent compensatory off may be permitted by the HOD in units of half a day or full day.

14.6.2 Compensatory off shall be availed during vacation. Else it shall lapse.

14.7 Leave without Pay (LWP)

14.7.1 If an employee has exhausted all types of leave, exceptionally, she/he may be allowed to take leave without pay up to a maximum of 05 days in a year.

14.7.2 In case, if the employees crosses 5 days of LOP, then the leave shall be approved by Chairman subject to proper supporting documents.

14.8 ON OFFICIAL DUTY (OOD)

14.8.1 Employees are eligible for 10 days of OOD in a calendar year.

14.8.2 The Head of the Institution deposes / permits the staff member to attend the work outside the institution, it will be considered as On Official Duty.

14.8.3 The employee is entitled for OOD, if he / she is deputed for any kind of workshop / seminar / conference by the Head of the Institution.

Attendance Certificate from the concerned institute / association is compulsory for considering OOD.

14.8.4 Casual leave to the credit of the employees can be clubbed with the OOD.

14.9 ON EXAMINATION DUTY (OED)

14.9.1 The faculty is entitled for 14 days of OED in a calendar year.

14.9.2 Casual leave to the credit of the employees can be clubbed with the OED.

14.9.3 Affiliated University/the concerned Board/the University, with whom New Horizon Educational Institution is having collaboration, may ask faculty members for their examination work. Faculty members may take up the same work up to 14 days in a year and it will be considered as On Examination Duty Leave. Attendance Certificate from the University / Board is compulsory for considering OED.

14.10 EARNED LEAVE (EL)

14.10.1 Administrative officers including Principal, Executive Director, Director, Registrar, Deans, HODs of Non Academic departments are eligible for 21 days of Earned leave in a calendar year after completion of one year of continuous service in NHCE.

14.10.2 Deans and HODs of Academic departments are eligible for 30 days of Earned leave in a calendar year after completion of one year of continuous service in NHCE.

14.10.3 Earned leave must be utilized in that calendar year only. It will be decided by the Chairman or the Head of the Institution from time to time.

14.10.4 In respect to those who joined during the middle of the calendar year, earned leave shall be credited at the proportionate rate for each completed month of service.

14.10.5 The credit for the half year in which an Administrative Officer is due to retire or resign from service shall be afforded at 2 ½ days for each month of service up to the date of retirement or resignation, subject to a maximum of 30 days in case of HODs and Chief librarian and 1 ½

days for Principal, Executive Director, Director, Registrar, Deans subject to maximum of 21 days. When an administrative officer is removed from the service or dies while in service, the credit of earned leave shall be allowed at 2 ½ days for each month of service up to the date of retirement or resignation or death, subject to a maximum of 30 days in case of HODs and Chief librarian and 1 ½ days for Principal, Executive Director, Director, Registrar, Deans subject to a maximum of 21 days.

- 14.10.6 The Management of the institution is employee friendly and would like employees to have proper work life balance. Therefore, all the Administrative Officers should avail compulsory one week of Earned leave during semester break and balance leaves can be utilized as and when required.

Chapter XV

VACATION LEAVE

15.1 Preamble

As per the Calendar of Events for the academic year the last working day and the first day of every Semester will be as per University notification. Based on this and keeping in tune with the Leave Policy, the following Vacation Policy will be implemented.

15.2 Vacation Policy

15.2.1 The following vacation can be availed:

- Permanent faculty / Student counsellors / Life Skill Trainers can avail 02 vacation slots
- Probationary faculty / Students counsellors / Life Skill Trainers can avail 01 vacation slot.
- Permanent non-teaching and technical staff can avail 01 vacation slot.
- Probationary Non Teaching and Technical Staff are eligible for 03 days of Vacation.

15.2.2 Vacation slots will be assigned as Sunday-Sunday slots. Vacations cannot be taken in any other ways except the Sunday-Sunday slots. No exceptions! Comp. offs may be clubbed with the Vacation Leave with prior approval of their respective Dept. Heads.

15.2.3 If a general holiday is in a given slot, the general holiday will be considered as vacation day. In other words, no additional vacation day will be given for the general holiday.

15.2.4 If a staff takes vacation from Sunday to any other day (e.g: Thursday) he/she loses the remaining vacation days of that slot (e.g: Friday & Saturday)

15.2.5 Faculty members are to compulsorily do the assigned Invigilation / Valuation duties even if it comes in between / during their vacation slots. If a faculty is found not doing his/her assigned duties even on one day, he/she will forfeit all the vacation slots. If a vacation is taken, it will be considered as loss of pay.

- 15.2.6 Any staff resigning or planning to resign before the beginning of the Semester cannot avail any vacation. If a staff resigns after availing any amount of vacation, those days will be considered as loss of pay.
- 15.2.7 Faculty Members can avail the vacation after the minimum academic duties have been fulfilled. Please read the Academic Duty Policy for further information. Dept Heads are to ensure that the faculty members have fulfilled their academic duties including Internal Assessment & filling OMR sheets before allotting the vacation slot.
- 15.2.8 Department Heads are to discuss the vacation policy with their faculty members and with the help of their Department Executives, prepare a dept. matrix indicating the staff name and his/her vacation slots. Keep in mind that at least 60% of the faculty members are to be present at any given time to run the department. This information should be put in the Staff Attendance register and given to the HR department. No changes in the vacation assignment will be entertained as this will lead to complications and extra 'wasteful' work.

Chapter XVI

SPECIAL LEAVE FOR PURSUING RESEARCH

- 16.1 This leave shall be given, on a case to case basis, to those who have registered for Ph.D and cleared their pre-Ph.D course work.
- 16.2 The leave needs to be approved by the Principal.
- 16.3 The Principal shall call for supporting recommendation letter from a faculty's Ph.D guide for granting the approval.
- 16.4 The period to complete Ph.D will be three and a half years and additional six months may be extended provided the case is recommended by Principal and HOD subject to the approval of the Chairman.
- 16.5 A faculty member enrolled for Ph.D program will be on regular rolls and entitled to get all the benefits like other existing faculty members.
- 16.6 The beneficiary employee will execute an indemnity bond to bind and abide by terms of a Bond as indicated below:
- They need to serve the institution for a minimum period of three years.
 - They shall submit a copy of the progress report duly signed by the guide to the Principal for every six months till the submission of the thesis.
 - If any faculty member wants to resign or terminate his / her service within the Bond period, he / she has to refund six months gross salary in one instalment.
 - One day per week off from class room teaching facility will be granted as Special leave for research work.
- 16.7 The unutilized Special Leaves can neither be carried forward nor encashed.

Chapter XVII

LEAVE POLICY FOR RESIDENT STAFF MEMBERS

- 17.1 Resident staff members will be entitled for one day weekly off, as decided by the Head of the Institution / Department.
- 17.2 Weekly off can be availed along with casual leave.
- 17.3 Resident staff members are eligible for 21 days of vacation in a calendar year. Those who join during the middle of calendar year, the vacation leave shall be credited at the proportion rate of 1.5 days for each completed months of service.
- 17.4 Vacation leave of maximum 7 days can be availed at one time.
- 17.5 No casual leave prefix and suffix can be taken along with the vacation leave.
- 17.6 Encashment of unavailed portion of vacation leave will be permitted up to a maximum number of 15 days.
- 17.7 The above policy is applicable for probationary and permanent resident staff members.

Chapter XVIII PROMOTION POLICY

18.1 Preamble

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

18.2 Eligibility

18.2.1 From Assistant Professor to Associate Professor, and Associate Professor to Professor, in all disciplines

18.2.2 PhD Qualification

18.2.3 Required number of years of experience

18.2.4 Prescribed research output

18.2.5 Acceptable teaching feedback

18.2.6 Demonstrated academic administration

18.2.7 Performance / Self Appraisal system

18.2.8 The Eligibility shall stand modified in the following cases:

18.2.9 For those whose probation may have been extended.

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

18.2.11 Faculty whose annual increments are on hold/delayed/deferred for want of fulfilment of academic commitments

18.2.12 Faculty with track record of misconduct

18.3 Policy and Procedure:

18.3.1 When PhD is just completed, completion shall mean possessing certificate of completion of PhD from the degree awarding Institution (or provisional degree certificate).

18.3.2 Indicated Output (Assistant Professor (1) to Assistant Professor (2))

- Should have minimum 3 years of teaching experience.
- Should have minimum 2 paper publication, workshop / seminar conference and one online MOOC / NPTEL every year.
- Teaching feedback from the students
- Results
- Proactive and enthusiastic participation in such tasks of academic administration tasks as may have been asked, required or expected of the faculty by the Management.

18.3.3 Indicated Output (Assistant Professor (2) to Senior Assistant Professor)

- Should have minimum 5 years teaching experiences and should have registered for Ph.D/ minimum 8 years of teaching experience.
- Should have minimum 2 paper publication, workshop/seminar/conference and one online MOOC / NPTEL every year.
- Teaching feedback from the students
- Results
- Proactive and enthusiastic participation in such tasks of academic administration tasks as may have been asked, required or expected of the faculty by the Management.
- Requisite appraisal score.

18.3.4 Indicated Output (Senior Assistant Professor to Associate Professor)

- Should have acquired Ph.D

- Should have minimum 5 years of teaching experience and 2 years post Ph.D experience.
- Should have minimum 2 paper publication, workshop/seminar/conference and one online MOOC / NPTEL every year.
- Minimum 2 paper publication every year.
- Teaching feedback from the students
- Should give an undertaking for 3 years.
- Results
- Requisite appraisal score.
- Proactive and enthusiastic participation in such tasks of academic administration tasks as may have been asked, required or expected of the faculty by the Management.

18.3.5 Indicated Output (Associate Professor to Senior Associate Professor)

- Should have acquired Ph.D
- Should have minimum 5 years of teaching experience and 4 years post Ph.D experience
- Should have minimum 2 paper publication, workshop/seminar/ conference and one online MOOC / NPTEL every year.
- Should give an undertaking for 3 years.
- Teaching feedback from the students
- Results
- Proactive and enthusiastic participation in such tasks of academic administration tasks as may have been asked, required or expected of the faculty by the Management.

- Requisite appraisal score.

18.3.6 Indicated Output (Senior Associate Professor to Professor)

- Qualification and experience as required by the AICTE.
- Should have minimum 2 paper publication, workshop/seminar/ conference and one online MOOC / NPTEL every year.
- Should give an undertaking for 3 years
- Should have minimum 10 years of teaching experience and 2 years post Ph.D experience.
- Teaching feedback from the students.
- Results.
- Requisite appraisal score.
- Proactive and enthusiastic participation in such tasks of academic administration tasks as may have been asked, required or expected of the faculty by the Management.

18.3.7 Indicated Output (Professor to Senior Professor)

- Qualification and experience as required by the AICTE
- Should be very active in research, institute development and P G programme along with student development activities.
- Should be guiding atleast 3-4 students for Ph.D programme.
- Should have minimum 2 paper publication, workshop / seminar / conference and one online MOOC / NPTEL every year.
- Should give an undertaking for 3 years.
- Teaching feedback from the students.
- Results

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

18.4 Grievance Redressal

18.4.1 Staff shall have the right to represent their grievance to their Director / Dean / HOD.

18.4.2 The Director / Dean / HOD shall redress the grievance within 7 working days, failing which the grievance may be escalated to the Principal and Head – Human Resources.

18.5 Administration of the Promotions:

18.5.1 Promotions Recommendation Committee, shall be constituted and the Committee shall comprise :

- Chairman
- Principal
- Sr. Executive Director – Accounts and Finance
- Registrar
- Dean – Academics
- Head – Human Resources
- Head of the Department to which the faculty / staff belongs

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

18.6 The Management may in exceptional circumstances relax or extend the eligibility criteria, at its discretion. Administration of this policy is within the sole discretion of the Management of the institution.

Chapter XIX

PROMOTION POLICY FOR NON TEACHING STAFF

19.1 Objective

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

19.2 Eligibility

All non-teaching, library and technical staff.

19.3 Policy & Procedure

19.3.1 Pre-requisites for promotion

19.3.2 Promotions shall always be subject to appropriate vacancy in the higher grades, except when the management, at its discretion, enhances a job at a given grade to a higher grade.

19.3.3 A promotion must always lead to an enhanced responsibility in the institution.

19.3.4 The Employee shall have the potential, beyond mere eligibility, to take up higher role / responsibility.

19.4 Eligibility for promotion

19.4.1 Requisite performance rating in the previous years.

19.4.2 No adverse remarks/reprimand in the personal file in the preceding three years.

19.4.3 Requisite educational qualifications as per Job Description

19.4.4 No. of years of experience in the existing grade

19.4.5 However, mere eligibility is not a criteria for promotion.

19.5 Promotion Process

- 19.5.1 The process governing the promotion cycle is as under:
- 19.5.2 List of eligible employees (LEE): HR Department shall prepare LEE by May / June 30th.
- 19.5.3 Communicate LEE to HODs: The LEE shall be sent to the respective HODs for their Recommendation
- 19.5.4 Promotion Recommendation Form (PRF): The Head shall fill in the PRF for the employee recommended for promotion and send it to the HR department by specified timeline.
- 19.5.5 Verification and submission of PRFs by HR Department to Principal: In order to ensure due justification for a promotion, new job description shall be entered in the PRF. HR shall then submit the PRFs to the Principal.
- 19.5.6 HR department, under intimation to the Principal, shall bring any exceptional cases recommended for promotion to the notice of the Chairman.
- 19.5.7 Review of PRFs: A duly constituted Promotion Recommendation Committee (PRC) shall review all the LEE cases and submit their final recommendations to the Chairman for approval. The PRC will comprise the following:
- Chairman
 - Principal
 - Director – Accounts and Finance
 - Registrar
 - Dean – Academics
 - Head – Human Resources
 - Head of the Department to which the staff belongs

- 19.6 Approving Authority:** The Chairman will be the approving authority for all promotions. A proper statement giving all the details of the employee being recommended for promotion, together with the justification for the promotion, shall be submitted to the Chairman. Upon approval, Chairman shall review and approve the PRFs. All the promotion letters will be then signed by Chairman.
- 19.7 Responsibility of the Promotion Recommendation Committee**
- 19.7.1 To scrutinize, review and discuss all PRFs diligently in terms of eligibility, ascertain the staff member's ability to take up higher responsibility in the promoted position, before making the final recommendation.
- 19.7.2 HR shall verify the job description and the new JD provided by the HOD.
- 19.8 Implementation**
- 19.8.1 Promotions shall be taken up only once in a year during the PMS cycle.
- 19.8.2 As a rule, all promotions shall be effective from August 1st. Exceptions, if any, shall be approved by the Chairman. Promotion letter along with the JD shall be prepared by HR and handed over to the HOD.
- 19.8.3 All promotions letters shall be handed over to the employee by the respective Head of the Department through Human Resource Department.

Chapter XX

TIME AND ATTENDANCE MANAGEMENT POLICY

- 20.1 Objective:**
- 20.1.1 To communicate the general office / college timings of the institute
 - 20.1.2 To lay down the general guidelines to record the attendance by everyone in the institute as per the applicable timings
- 20.2 Applicability :**
- All employees on regular rolls are covered under this policy
- 20.3 Procedure :**
- 20.3.1 The timings of the institute are from 8.50 AM to 4.50 PM on all working days (Monday to Saturday) of the week, except Sunday.
 - 20.3.2 I and III Saturdays are closed and II and IV Saturdays are full working days. V Saturday will be half a day working
 - 20.3.3 Employees are expected to come to their workplace, on all working days, at the designated time and mark attendance in the manual attendance register and/or in biometrics. They are expected to do this again at the time of leaving the workplace at the end of the working day as well.
 - 20.3.4 **Grace Period:** Up to 10 minutes after the designated starting time is considered as “grace period”. After the grace period every late arrival to the workplace, half day casual leave will be debited from the leave account of the employee. If there is no casual leave to the credit of the employee, half day of any other type of leave to the credit will be debited. In case there is no leave available at credit, then half day salary will be debited from the employee. The names of the employees exceeding the number of instances of grace period will be notified to the Accounts department by HR Department.
 - 20.3.5 Employees are expected to register out station duty like tours, trainings etc. either in advance or immediately after resuming the work. The intimation of this should be provided to the HR after approval of HOD / Principal and the same should be uploaded in HRMS

Chapter XXI

STAFF WELFARE POLICY

21.1 Statement

- 21.1.1 The Institution recognizes all their employees to be the most valuable resource and that the health and welfare of all employees is essential in achieving the Institution's mission.
- 21.1.2 The well being of all employees is of a primary concern by investing in the health and welfare of employees, the Management is investing in the efficiency and effectiveness of the Institution.
- 21.1.3 The Institution is committed to producing a caring and supportive working environment which is conducive to the welfare of all employees, and which enables them to develop towards their full potential.
- 21.1.4 Welfare includes anything that is done for the comfort and improvement of employees and is provided over and above the salary. Welfare helps in keeping the morale and motivation of the employees high so as to retain the employees for longer duration. The welfare measures need not be in monetary terms only but in any kind/forms. Employee welfare includes monitoring of working conditions, creation of institution harmony through infrastructure for health, institution relations and insurance against disease and accident.

21.2 Aim

To provide a framework for the provision of staff welfare support.

21.3 Roles of Responsibility

- 21.3.1 All staff members have a role to play with regards to their own health and well being at work and are advised to raise any matters of concern. The staff members have a responsibility to be sensitive and responsive to the welfare of other colleagues at work.
- 21.3.2 A staff member who has a concern regarding their welfare should address this initially to their HOD / Principal or directly to HR-Head.

- 21.3.3 The Staff members also have a responsibility to co-operate as far as possible with any initiatives, recommendations, introduced in relation to their welfare and to follow any guidance provided by HR.
- 21.3.4 The Institution recognises the importance of the professional relationship between HODs and staff members, they have primary responsibility for the welfare at work of the staff under their supervision. They should respond to staff in a supportive manner taking into account their feelings and difficulties, in an atmosphere of trust and confidentiality. They should provide support and ensure all staff members are treated in a fair, sensitive and confidential manner, at all times they are to be aware of Institution welfare policy.
- 21.3.5 Human Resource has a responsibility to Management and individual members of staff. Confidential advice and support will be provided to staff that have personal, family, medical or work related problems with a view to assisting them to identify solutions.
- 21.3.6 It is not the role of the Human Resources - Head to provide ongoing counselling for staff, the role is to:
- 21.3.7 Provide quality listening and helping service, offering support and information
- 21.3.8 Intervene and facilitate where appropriate in assisting to resolve welfare problems
- 21.3.9 To assist with contacting external organisations medical/health professionals and other relevant agencies and to maintain up to date knowledge of welfare discipline.
- 21.3.10 Information, advice and support will be provided through Human Resources Head, the range of information and advice available will include:
- 21.3.11 Institution policies and procedures relating to staff health and welfare

21.4 Monitoring, evaluation and review

The implantation of the policy will be subject to regular monitoring, evaluation, and using effective indicator tools and will be strategically reviewed or modified to as required in the light of changing circumstances.

21.5 Staff Welfare Measures

- 21.5.1 Recreational Trip for staff members.
- 21.5.2 Gifts for staff members during Teacher's Day / Dussehra / Diwali.
- 21.5.3 Free transport facilities for staff.
- 21.5.4 Concession in tuition fee for staff children studying in New Horizon.
- 21.5.5 Staff Referral Incentives.
- 21.5.6 Medical Insurance for Teaching, Technical and Non Teaching staff members.
- 21.5.7 Subsidized food and accommodation for security staff members.
- 21.5.8 Birthday celebration of staff members.
- 21.5.9 Medical center.
- 21.5.10 Reimbursement of books, bags, uniform, shoes etc., for staff children whose income is less than Rs.16000/- per month.
- 21.5.11 Uniform for class 4 employees.
- 21.5.12 Maternity leave with two months paid salary.
- 21.5.13 Ambulance facilities.
- 21.5.14 Personnel counselling.
- 21.5.15 Medical and Accident insurance to the transport department staff members.
- 21.5.16 Staff Relief Fund.
- 21.5.17 Free Health checkup
- 21.5.18 Interest free loan to purchase laptops.

Chapter XXII

GRIEVANCE MANAGEMENT POLICY

22.1 Introduction

- 22.1.1 Individual Employee grievances and complaints which are primarily a manifestation of their dissatisfaction about working conditions, managerial decisions, if not promptly attended to, may affect morale and productivity.
- 22.1.2 There is a need for formal grievance process to address such matters.

22.2 Objectives:

- 22.2.1 The objectives of the grievances process is to settle/redress:
- 22.2.2 Grievances of the employees in the shortest possible time
- 22.2.3 At the lowest possible management level
- 22.2.4 With appellate stages so that it is fair, transparent and reasonable.

22.3 Eligibility & Applicability

All employees on regular rolls of the institution including part time employees

22.4 Scope and Coverage

- 22.4.1 Grievance for the purpose of this policy would mean dissatisfaction arising out of the decision of the Management concerning the employee.
- 22.4.2 Grievances for the purpose of this policy will cover individual grievances such as:
- 22.4.3 Payment of Salary
- 22.4.4 Recoveries of dues etc.
- 22.4.5 Increment
- 22.4.6 Working conditions/Health & Safety

- 22.4.7 Leave
- 22.4.8 Medical Insurance / facilities
- 22.4.9 Non-extension of benefits under rules
- 22.4.10 Promotion
- 22.4.11 Administration or Academic issues
- 22.4.12 HR Policy administration
- 22.4.13 Compensation & Benefits
- 22.4.14 Related to Appraisals
- 22.4.15 Reimbursements
- 22.4.16 Interpersonal Conflicts/Issues with the HOD or team members
- 22.4.17 Role fit
- 22.4.18 Only grievance affecting an individual employee may be raised.
- 22.4.19 Separation/Retention
- 22.4.20 The grievance arising out of the following will not come under the purview of the grievance procedure:
- 22.4.21 Terms of appointment settled prior to joining
- 22.4.22 Matters relating to disciplinary enquiry / action
- 22.4.23 Where the grievance does not relate to an individual employee

22.5 Procedure for handling Grievances

The individual can raise grievance according to following procedure:

22.6 STAGE-I

- 22.6.1 The aggrieved employee may take up the grievance in writing with the HOD, who must try to resolve the grievance at that level immediately.

- 22.6.2 In case any grievances need more number of working days to resolve, the respective employee should be informed.
- 22.6.3 In case the employee is not satisfied with the redressal of the grievance he/her may submit the grievance, in writing, to the Principal with a copy to HR.
- 22.6.4 The HR will record comments on the grievance form after making necessary enquiries along with Principal.
- 22.6.5 In case of any delay in resolving the grievance, the Head - HR will inform the aggrieved employee with a copy to Principal of such a delay with reason.

22.7 STAGE- II :

- 22.7.1 The aggrieved employee who is not satisfied with the decision of the Committee will have an option to appeal to Chairman with the detailed reasons for the appeal.
- 22.7.2 The Chairman will take a decision and communicate the same to the aggrieved employee and the decision will be final and binding.

22.8 GENERAL CONDITIONS:

- 22.8.1 If the grievance is against the Director / Dean / HOD then employee can skip one level and escalate her/his grievance to next level.
- 22.8.2 The executive shall bring up the grievance immediately within a reasonable period of time.
- 22.8.3 Only an aggrieved employee can raise the grievance.
- 22.8.4 If the grievance is arising out of an order passed by the Management, the said order shall be complied with before the executive concerned invokes the procedure laid down for redressal of the grievance.
- 22.8.5 Quarterly MIS will be recorded in HR department on the various grievances raised by employees of the institution.

Chapter XXIII

POLICY ON QUALITY IMPROVEMENT PROGRAM

23.1 Preamble

The policy is aimed at supporting the existing faculty in pursuing full time Ph.D. with a study / special leave.

23.2 Applicability

23.2.1 Only for pursuing Ph.D. with premier institutions (IITs, NITs etc.) or Universities as approved by the management.

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

23.2.3 However, depending upon other considerations, the Management may entertain more candidates than indicated above.

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

23.3 Procedure

23.3.1 Faculty planning to proceed for their PhD will inform the HOD of the Department and the time frame over which they plan to pursue their PhD.

23.3.2 The faculty shall submit a formal application to the HOD, who shall forward the application to the Principal with his comments. The Principal and Head - HR will take the final decision in this regard, keeping in mind the overall faculty situation.

23.3.3 Based on the recommendations, the study leave would be sanctioned one day per week off from class room teaching facility will be granted as Special leave for research work

23.3.4 They shall submit a copy of the progress report duly signed by the guide to the Principal for every six months till the submission of the thesis.

- 23.3.5 Before proceeding, the faculty shall sign an agreement with New Horizon to serve the Institution, upon their return from leave, for a period of 3 years from the date of award of degree.
- 23.3.6 If any faculty member wants to resign or terminate his / her service within the Bond period, he / she has to refund six months gross salary in one instalment.
- 23.3.7 The period to complete Ph.D will be three and a half years and additional six months may be extended provided the case is recommended by Principal and HOD subject to the approval of the Chairman.
- 23.3.8 A faculty member enrolled for Ph.D program will be on regular rolls and entitled to get all the benefits like other existing faculty members.
- 23.3.9 The beneficiary employee will execute an indemnity bond to bind and abide by terms of a Bond as indicated below:
- 23.3.10 They shall submit a copy of the progress report duly signed by the guide to the Principal for every six months till the submission of the thesis.
- 23.3.11 All the terms and conditions of the bond will expire on the date when the beneficiary employee completes his / her service in the Institution.

Chapter XXIV CODE OF CONDUCT

24.1 Preamble

- 24.1.1 New Horizon College of Engineering believes that for an institution to succeed, grow and excel, it needs to be anchored to its Values and Beliefs and motivate all its employees to consistently display these values in the course of their interactions.
- 24.1.2 The Code of Conduct and Ethics, articulated below, embodies the Institution's Values and Beliefs and endeavors to lay down guidelines for employees to follow in their day to day work life.
- 24.1.3 All employees are requested to read and imbibe the Code of Conduct and Ethics and follow it in letter and spirit, so as to maintain the highest standards of values in their conduct to achieve institution's objectives.
- 24.1.4 The Institution's Values and Beliefs shall act as the guiding principle in the enumeration, interpretation and periodic review of the Code of Conduct and Ethics.

24.2 Objective

- 24.2.1 The Institution's prides itself on the high standards embodied in its working principles. The institution expects its employees to adhere to these in their day to day activities.
- 24.2.2 The following Code of Conduct and Ethics is intended to provide guidelines for the Professional, Ethical, Legal and Socially Responsible behaviour that the institution expects from its employees.

24.3 Applicability

- 24.3.1 All employees on regular rolls of the institution including employees on Part time are governed by this Policy.
- 24.3.2 Employees are the representatives of the institution and hence are expected to demonstrate high degree of discretion and astute judgment in their dealings.

24.3.3 Although due care has been taken to address most conceivable situations, it is not possible for this Code to cover every situation that may arise. In circumstances where employees are unable to consult an appropriate person in the Institution, they are expected to use sound reasoning and good judgment in handling the situation in the interest of the Institution and its Values.

24.4 Policy Guidelines of Conduct

24.4.1 **National Interest:** New Horizon College of Engineering is committed in all its actions, to promote quality education and shall neither engage in any activity that would adversely affect such objective, nor shall undertake any activity or project which is to the detriment of the national interests.

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

24.4.3 **Quality of Services:** New Horizon is committed to deliver services of world class quality based on the requirement of its stakeholders and built to National and International standards.

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

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

24.4.6 **Collaboration within New Horizon Institutions:** All New Horizon Group businesses shall cooperate with each other by sharing knowledge, infrastructure, human and management resources and making efforts to resolve disputes amicably, albeit without adversely affecting its stakeholder value.

- 24.4.7 **Confidentiality and Non-disclosure:** Employees shall ensure that all information available to them in the course of employment in the Institute are kept strictly confidential and she/he shall not disclose to any party except to the extent necessary for the purpose of due performance of her/his service/discharge of her/his duty to the Institution.
- 24.4.8 **Falsification or Destruction of information-** No employee shall make any statement or do any act that encourages or results in unlawful, untimely, false or intentional misrepresentation, concealment or destruction of information in order to deceive or mislead.
- 24.4.9 **Using equipment and consumable resources:** Employees shall ensure that all departmental equipment, resources, and consumable items are used for the work and business of the Department.
- 24.4.10 **Using the Internet, Intranet, and Electronic mail :** Employees shall avoid using of computers for sending, receiving, and/or copying inappropriate material.
- 24.4.11 Employees will ensure that the transmission of information via communication and information networks and devices are made only if authorized to do so and in accordance with the relevant departmental protocols.
- 24.4.12 Employees will avoid sharing of password with another person, share another person's password/s, or record password/s which can be misused.
- 24.4.13 The Department monitors the use of these networks and devices, and an employee may be called upon to explain her/his use of them.
- 24.5 Protecting Institute's assets**
- 24.5.1 **Misuse of Resources-** Employees shall avoid any improper, unauthorized or unlicensed use of property or resources for non-business related reasons or purposes including improper use of systems and timekeeping.
- 24.5.2 **Theft-** Employees shall avoid any unauthorized removal or taking of supplies, equipment, furniture, fixtures, products, cash, merchandise or other tangible property of the Institution.

- 24.5.3 **Unethical Transaction:** No employee shall assist in the misuse of Institution's funds, irrespective of the amount involved, including, the misappropriation of such funds for her/his personal benefit, or customers.
- 24.5.4 All payment and transfers of premium and other items of value shall be made openly and must be disclosed and duly authorized by the concerned authority.
- 24.5.5 **Gifts and Entertainment:** Except in connection with and specifically pursuant to programs officially authorized by the institution, no employee shall accept, directly or indirectly take any money, objects of value, or favors / discounts from any person or other company/institute/organization that has or is doing or seeking business with the Institution. All employees must disclose authorized transactions of this nature to the higher authorities.
- 24.5.6 All payments or transactions must be consistent with applicable laws and accepted practice and must be accurately recorded in the institution's books and records.
- 24.5.7 **Relationship with Government and Public officials:** An employee of New Horizon may occasionally contact government and regulatory officials to keep them informed about her/his operations and positions on issues. She/he is responsible for these contacts and must understand and obey the laws governing lobbying activities and reporting requirements. She / he should also be familiar with specific rules set by individual agencies or other governmental bodies.
- 24.5.8 **Public Representation:** No employee shall, without the express consent of the /Management/ Competent Authority, call for Press meets, brief the Press or speak to the Media or participate in discussions, forums etc. in the media, to discuss any issues related to the activities of the institute or future prospects or projections of the Institution.
- 24.5.9 **Charitable Contributions:** Although employees are encouraged to be socially responsible and politically active, Employees may not contribute the institution's funds or assets to any Charitable Institution or similar Institution, unless such contribution is expressly permitted by law and has been pre-approved by the appropriate, authorized representative of the Institution.

- 24.5.10 **Political Activity:** No employee shall involve in any political activity directly or indirectly.
- 24.5.11 **Regulatory Compliance:** Every employee shall, in her/his business conduct, comply with all applicable laws and regulations, both in letter and spirit, in all the areas in which one operates.
- 24.5.12 **Third Party Representation:** Third Parties which have business dealings with New Horizon but are not members of the New Horizon Group, such as Consultants, Agents, Contractors and Suppliers are not authorized to represent a New Horizon Group without the written permission.
- 24.5.13 **Sexual Harassment and other harassment policy:** New Horizon Group recognizes that Sexual Harassment violates fundamental rights of gender equality, right to life and liberty and right to work with human dignity as guaranteed by the Constitution of India. To meet this objective, measures shall be taken to avoid, eliminate and if necessary impose punishment for any act of sexual harassment, which includes unwelcome sexually determined behaviour as per the Group's policy against Sexual Harassment.
- 24.5.14 **Other Harassment:** The Group prohibits harassment of one employee by another employee or group of employees or supervisor on any basis including but not limited to race, colour, religion, marital status, national origin, physical or mental disability and/or age.
- 24.5.15 The purpose of this policy is not to regulate our employees' personal morality. It is to assure that in the workplace, no employee harasses another.
- 24.5.16 Harassment includes but is not limited to slurs, epithets, threats, derogatory comments, unwelcome jokes and teasing.
- 24.5.17 **Whistle Blower policy:** The New Horizon Group provides a platform for employees to disclose information internally, which she/he believes shows serious malpractice, impropriety, abuse or wrong doing within the institution without fear of reprisal or victimization.

- 24.5.18 **Ethical Conduct:** New Horizon Group expects its employees to maintain high moral and ethical standards. These standards are characterized by honesty, fairness, equity in interpersonal and professional relationships as well as in our day-to-day activities. A GMR employee is supposed to inform in case, if he deviates from the above standard.
- 24.5.19 No New Horizon employee shall engage himself in any business activity. Further, if he directly or indirectly recommends any of his friends / relatives for any business dealing with New Horizon Group, he must disclose the nature of such relationships and transactions beforehand.
- 24.5.20 **Dress Code:** New Horizon Group's expects its employees to follow a dress code which helps them to work comfortably at the workplace and at the same time project a professional image for our customers, potential employees and the community we are a part of. Hence, it is essential that all employees take pride in her/his appearance and maintain proper dress code and general appearance during office hours. Employees are expected to dress neatly and in a manner consistent with the nature of the work performed.
- 24.5.21 **Substance Abuse-** To meet our responsibilities to Employees, the Group shall maintain a healthy and productive work environment. Misusing controlled substances or selling, manufacturing, distributing, possessing, using or being under the influence of illegal drugs and alcohol on the job is absolutely prohibited.
- 24.5.22 **Threats and Physical Violence-** No employee shall use threatening words, or assault or commit acts of violence or possess weapons, firearms, ammunition, explosives or incendiary devices in the workplace, on work premises or in work vehicles or elsewhere.
- 24.5.23 The list of behaviours, while not inclusive, provides examples of conduct that is prohibited by this policy:
- 24.5.24 Causing physical injury
- 24.5.25 Making threatening remarks
- 24.5.26 Aggressive or hostile behaviour that creates a reasonable fear of injury to another person or subjects another individual to emotional distress

- 24.5.27 Intentionally damaging employer property or property of another employee
- 24.5.28 Committing acts motivated by or related to sexual harassment or domestic violence.
- 24.5.29 **No Smoking-** Smoking is strictly prohibited in the premises of the workplace. Appropriate actions shall be initiated against any person found contravening with the policy of this code.
- 24.5.30 **Disciplinary Actions :** All employees covered under this Code of Conduct and Ethics are required to adhere to the principles and rules laid down in this code. Failure to do so will attract appropriate action including disciplinary action against the employee who is found to violate these principles.
- 24.5.31 Disciplinary action may include immediate separation of employment or any other action as deemed fit at the Institute's sole discretion. The Institution will recover any loss suffered by it due to violation of the provisions of this code by any employee.
- 24.5.32 Disciplinary Proceedings against the delinquent employee shall be conducted in accordance with the principles of natural justice.

Chapter XXV RETIREMENT

- 25.1 The date of compulsory retirement of a College employee shall be the afternoon of the last day of the month in which he/she attains the age of superannuation of 60 years for teaching and non teaching.
- 25.2 Provided further that where the date of compulsory retirement of a College employee is a general holiday or the date of compulsory retirement and the days preceding thereto are general holidays, he may be permitted to hand over charge on the afternoon of the last working day before the date of such retirement and may be allowed pay and allowances for the holidays.
- 25.3 College may grant re employment to any college employee beyond the date of his/her compulsory retirement if he/she is physically fit such that reemployment can be granted, except in very special circumstances, with the prior and specific sanction of college. They will be appointed on contract basis.
- 25.4 Notwithstanding anything contained in sub-rule a competent authority may remove or dismiss any college employee or may require him/her to retire compulsorily, on the ground of misconduct or insolvency or inefficiency.
- 25.5 Notwithstanding anything to the contrary contained in this rule or any other rule made or in the contract, or the terms and conditions of retention of any college employee in service after the date of compulsory retirement, the services of a college employee so retained shall be liable for termination at any time by a notice in writing given either by the college employee to the appointing authority or the appointing authority to the college employee and the period of such notice shall be one month.
- 25.6 Management is empower to exercise its right, over and above the conditions stipulated in the matter of retirement age and / or appointing such retired personnel on contract basis the rules and regulations will vary from time to time for such entrant appointments or as the case may be, for the period by which such notice falls short of one month.

- 25.7 The authority Competent to sanction terminal benefits shall prepare every six months i.e. on the 1st January and 1st July of each year a list indicating the names, designations, date of birth and date of retirement of all employees of college employees who are due to retire within the next 12 to 18 months. He/she shall send the list to Principal's office not later than 31 January and 31st July respectively.
- 25.8 Note: In the case of a college employee retiring for reasons other than superannuating, the Head of Human Resources shall promptly inform the college office as soon as the impending retirement becomes known to him / her.

Chapter XXVI R&D Cell

Operational Guidelines for a Sponsored Research Projects

26.1 Principal Investigator (PI):

26.1.1 PI of a sanctioned project is considered to be the prime interface between the funding agency and R &D Cell and is operational head of the project. The PI is advised to keep the whole project team (including the respective HoDs) aware about the progress of the project and involve the Co-PIs in all related project activities. In his/her absence, the PI may request any of the Co-PI to take-over the responsibility of running the project and inform the change to R&D Cell using prescribed form. However, if the responsibility is being handed over to another faculty member other than Co-PI, prior approval of Research & Development Committee (RDC) consists of HoDs/Dean (R&D)/ Principal is required.

26.1.2 *(In case of other than PI, originates/writes the Proposal for any Project, if submitted by other than the person who have generated/written the proposal for various reasons (limitations of handling more than 1 or 2 projects at a time etc as PI), then financial/non-financial incentives will be shared between them as decided by the HoD/Dean (R&D)/Principal as per the norms of NHCE)*

26.1.3 The primary objective of New Horizon College of Engineering (NHCE) and R&D Cell is to encourage and nurture an environment to carry out research activities in the chosen professional fields/areas of interest. Accordingly, the members take initiative to work on local, regional, national and global challenges and to try to find logical/harmonious solutions to mitigate them by using efficient tools or techniques or methodologies.

26.2 Research & Development Committee (RDC):

26.2.1 RDC has been constituted with approved mandate and responsibilities of providing impetus to the College research and development activities and to provide support, advice and assist the Dean: Research and Development. It has representation from all departments and inter-disciplinary programs. The body has become a vibrant entity to discuss policy issues and the NHCE

receives the first level feedback from the faculty. RDC members highlight shortcomings in procedural matters and thus sharpen the performance of the R&D Cell.

- 26.2.2 The NHCE's R&D activity aims at innovation and technological progress/growth through academic and research collaborations with various Universities, Ministries of Central/State Governments, R&D Establishments and Industries to meet the immediate as well as futuristic needs of the society and industry. The scope and scale of research has been envisaged from the era of student projects/theses and academic researches to sponsored research/funded research projects to interdisciplinary and multi-disciplinary research programs.
- 26.2.3 The NHCE faculty members, research staff and students conduct research with goals and objectives ranging from intellectual curiosity/creative exploration addressing contemporary challenges, developing technology, or writing scholarly publications. The NHCE gains enormously from these activities and in fact, flourishes on faculty member quest. The NHCE wishes to position itself in the world in near future as one of reputed and prestigious Institution known for its academic pursuit along with performance in the research domain. Consequently, the NHCE has facilitated a healthy ambience for research – both in terms of sustained motivation, state-of-the-art infrastructure and scholastics.
- 26.2.4 **Research Idea:** Generate a list of best ideas from your research area (topics which are closest to your heart) in which you are really interested. As a Principal Investigator (PI), you should take into account your professional interest/passion in identifying new and important research questions. Organisation of brainstorming with a group (among peer at department) helps in terms of idea mapping. Moreover, identifying ideas that are innovative in which you will be comfortable requires refinement of your research idea in terms of its implement ability within the availability of scarce resources. One could establish an internal review panel as a team to discuss the efficacy of the proposed study. The team will concentrate on the improvement of scientific content of the proposal.
- 26.2.5 **Funding Agency:** One needs to learn about the funding agency in terms of its mission, research priorities, available financial

resources, recent awards and current announcements. Faculty should initiate interaction with the programme manager and seek required information on matching of the research Idea and objectives of the agency. Faculty should visit the funding agency, if necessary and volunteer to serve on the review panel. Faculty needs to read and analyze the solicitation of the agency's grant application.

26.3 A General Format for Sponsored Research Project Proposal is provided below:

- 26.3.1 Proposal Description: Title:** It is the summary of the proposed study. It shall be a good match to the proposed themes of the funding agency. Moreover, it should be easily remembered by the reader cum reviewer.
- 26.3.2 Summary of the Proposal:** One needs to highlight the aims and overview of the research plan. It should demonstrate the importance of the study and generate interest to the reviewer.
- 26.3.3 Research Statement:** Faculty should incorporate the relevance of the proposed study, the focus of the study and a rational plan to achieve the study goal(s).
- 26.3.4 Objectives:** The proposal should establish the overall direction of the proposed study. In the case of several objectives faculty should state the action, the behaviour and the standard against which it will be measured.
- 26.3.5 Literature Review:** Faculty needs to incorporate important work in a concise manner in the proposed study. In addition, faculty should try to advance the knowledge.
- 26.3.6 Study Design:** It shall be simple and clear. Moreover, the design should be based on the study objectives. You may need to discuss with the expert in research methods, if necessary, to obtain suggestions on sample design, data measurement, collection and analysis.

26.3.7 Ethics/IPRs: Funding agencies are concerned with ethical issues of the scientific experimentation on humans, animals, etc. PIs are responsible for upholding academic integrity.

26.3.8 Viable Research Budget and Term: It consists of direct and indirect costs of the proposed study. Moreover, provide rationale for each budget item within the lines of the objectives of the study. It is advisable to seek assistance from the concerned department staff of the NHCE, in case of interdisciplinary/multi-disciplinary studies. It is necessary to check your calculations before you submit it to the funding agency.

26.3.9 Benefits to the Academia and the Society: The proposed study should contribute to the knowledge base and find solutions to the society's problems. The relevant design and finding of the study should be disseminated to the targeted groups of the society. The information sharing strategy could be worked out in consultation with stakeholders. The funding agencies provide incentives (in such a way to attend conference/seminar/ publications etc) to the PIs to share the findings of the study.

26.3.10 Thus, the investigator could incorporate the cost of the dissemination in proposed budget of the study.

26.4 Type of Research Projects

26.4.1 Initiation Grant for Innovative Projects of Students/Faculty Members:

26.4.2 To encourage Innovative Projects which will have scope for incubation and lead to potential enterprises, the R&D Cell will provide financial support to students of BE and M.Tech/MBA/MCA and Faculty Members. Funding will be for a maximum of Rs. 1 Lakh per project. No major equipment can be purchased or staff appointed out of this grant. Every year, the R&D Cell will issue circular inviting project proposals from students/faculty members through the Guide and concerned HoDs for financial support of R&D Cell.

26.4.3 The NHCE funds grant to interested faculty member(s)/student(s)/Teaching Research Associates (TRAs) for initiating sensible research project(s). The proposal should include a

description of research that he/she wishes to conduct over the next 1-2 years. It is a platform meant to help interested faculty member(s)/student(s)/TRAs to prepare for subsequent proposal submissions.

26.5 Guiding Notes

- 26.5.1 The initiation grant is for an amount of Rs. 50,000/- to Rs. 1 Lakh at present to procure components, consumables, testing/hiring research equipments/facilities, reference books, miscellaneous items and domestic travel for the purpose of initiating projects. It does not include:
- 26.5.2 Appointing Staff;
- 26.5.3 Conference Travel (for which other sources are available).
- 26.5.4 Proposal is presented by the interested faculty member(s)/student(s)/TRAs before an RDC, consisting of HoDs/Dean (R&D), Experts and Principal.

26.6 Sponsored Research Projects

Sponsored project refers to one in which the PI does not charge honoraria/consultation fee. For a project sponsored by a government agency, no honorarium in any form can be claimed. Amount may be used by the PIs as approved in the respective budget head by the funding agency.

26.7 Individual Projects

The NHCE encourages investigation of basic and applied areas of science and technology, high end technology development in the form of sponsored projects. Research grants for such projects are given by government agencies and industries (both national and international). These projects are usually of 2-5 years duration with periodic appraisals, while research objectives and goals may be refined along the way.

26.8 Collaborative Projects

- 26.8.1 Faculty may also participate in collaborative projects with other domestic (individuals/institutions/ professional bodies) or foreign partners (individuals/ institutions). In such projects, even though there may be an overall project, there must be a separate budget and scope of work statement to be done by the faculty and staff of the NHCE. The summary statement provided to the NHCE should be based primarily on the portion to be done by the NHCE. The NHCE will treat this like any other sponsored project.
- 26.8.2 The NHCE soon after receiving the sanction letter from the Sponsoring Agency allows the Project Investigators to initiate the project work by duly hires the personnel, spending on consumables, using the infrastructure and resources of the NHCE, in anticipation of the release of the Funds.
- 26.8.3 The money received through Grants is parked in the Current Account held by the NHCE and the NHCE does not earn any interest on the Grants received. Neither the NHCE charges any interest from the Funding agencies in case of delay in reimbursement of expenditure or transfer of the Funds pledged by the agency towards the execution of the Projects by the PIs of NHCE.

26.9 Guiding Notes

- 26.9.1 **Project Responsibility:** These projects are headed by a Principal Investigator (PI), and may have Co-Principal Investigators (Co-PIs)/administrative PI (to operate the project, in case PI is out of station) and the deliverables are the responsibility of the PIs.
- 26.9.2 For each sponsored project, the entire expenditure for the operation of the project is required to be met out of funds provided by the sponsoring agency.
- 26.9.3 The responsibility for operation of the project lies with the PI.
- 26.9.4 **Preparation and Submission of the Proposal:** The project proposal should be formulated according to the format prescribed by the concerned funding Agency. The format is available at the respective website of each Funding Agency. Project proposal forms for major

funding agencies are available at R&D Cell/HoDs of each Department/R&D Coordinators at each Department.

- 26.9.5 **Project Proposal Format:** Please refer 2 c) above.
- 26.9.6 While making an estimate of the funds required for a project, the following budget heads should be taken into account:
- 26.9.7 Salary of Project Staff (Research Associates) including PhD Scholars/TRAs
- 26.9.8 Equipment
- 26.9.9 Consumables
- 26.9.10 Travel (domestic, international)
- 26.9.11 Contingency
- 26.9.12 Overheads (normally @20% of project cost; however, many funding agencies are allowing 10-15% of overheads only to self-financing colleges like NHCE. Considering the nature of expenditure and contingencies, it is always suggested to have sufficient cushion (15-25%) in the budget proposal for negotiations/ optimization / liaison / cost escalation/ smooth implementation of project without any financial strains etc). Kindly discuss with HoDs/Dean (R&D) regarding the total project cost before sending to the funding agency.
- 26.9.13 **Overheads:** Overheads are presently calculated @15% of the total project cost.
- 26.9.14 Endorsement is printed on the HoD's/Dean's letterhead, and is signed by the PI.
- 26.9.15 A proposal that satisfies all the conditions, particularly of the overheads, will be forwarded by the HoD/Dean (R&D). Any deviation from the norms (e.g. reduction of overhead) will have to be discussed and explicitly approved. The approving authority for any relaxation is the HoD/Dean (R&D).

26.9.16 The respective Department Office will make a suitable record of the proposal, and then courier the project proposal to the concerned agency along with the NHCE's cover letter duly signed by Head of the Institution (Principal). Alternatively, it may be given to the PI for forwarding it to the agency with due entry in dispatch register of NHCE.

26.10 c. Consultancy Projects

The Institute has expertise in various research areas to provide knowledge and intellectual inputs which are of interest to the industry. It encourages its faculty to undertake consultancy work which is an important tool in industrial growth of the Country.

26.11 Guiding Notes:

26.11.1 A consultancy project/task/work is one, where faculty and research staff provides knowledge and intellectual knowledge to industry (within India/outside India), primarily for their purposes. This is effectively a contract work in which all outputs belong to the sponsor.

26.11.2 All know-how developed as part of the consultancy assignment will be the property of the client as long as it is used by the client. Patent for any new development can be taken jointly between the client and the NHCE. If the knowhow is transferred to a third party, royalty will be shared equally between the client and the NHCE unless otherwise agreed upon. Wherever necessary, a Memorandum of Understanding can be signed between the NHCE and the client in which the terms and conditions for the award and execution of the project have to be explicitly stated.

26.11.3 It is desirable that payments for consultancy be routed through the NHCE. This means, that whenever payments are done, they should come in the name of the NHCE, which will then do the needful for complying with statutory laws and then give the honorarium to the faculty/staff as the case may be.

26.11.4 The requirement originates from the industry concerned. The faculty is expected to estimate the time and cost required to accomplish the task.

- 26.11.5 **Preparation and Submission of the Proposal:** In case of a consultancy project, normally based on the requirement, proposal is prepared by the PI. It should specifically mention breakage of funds, normally consultancy fee as the primary component. It may also have budget for supporting manpower, equipment, travel contingency and other such costs to execute the consultancy project. Also consider the cost of availing of external assistance and subcontracting, if required.
- 26.11.6 Students can be employed on a part time basis and remuneration may be given based on the request from the PI/consultant.
- 26.11.7 **Overheads and Service Tax:** At the stage of proposal submission, the budget will reflect project costs (X), 25% overheads (0.25X) and service tax (10.3% of 1.25X). Service tax is subject to periodic revision by the Government of India. Service tax is not deducted on projects, if the funds are received in foreign currency. Service tax on equipment is not chargeable, in case equipment is to be returned to the funding agency/organization after completion of the project. This should be clearly spelt out in the MoU/proposal itself.
- 26.11.8 **In International Project:**
- 26.11.9 Funds are received in foreign currency;
- 26.11.10 service tax is not applicable;
- 26.11.11 The research collaboration of NHCE with the other party/funding agency should be in conformity with the laws of both the Countries and/or International laws as the case may be.
- 26.11.12 A MoU/agreement that satisfies all the conditions, particularly of the overheads, service tax will be approved by the NHCE. Any deviation from the norms (e.g. reduction of overhead) will have to be discussed and explicitly approved. The approving authority for any relaxation is the HoD/Dean: R&D.
- 26.11.13 The softcopy of the proposal will be sent to the Office for records.

- 26.11.14 **IPR Issues:** All IPR related issues are agreed between the Institute and the funding agency. Preferably, IPR will be jointly shared by NHCE and the funding agency. For Board approved IPR policy of the Institute, please refer IPR Policy of NHCE.
- 26.11.15 **MoU/Agreement Preparation:** NHCE has approved guidelines for drafting MoU/Agreement of any Departments of NHCE. For preparation of MoU/agreement, please contact: R&D Cell/HoDs of each Department/R&D Coordinators at each Department. Some template/model MoUs of different types are available with them.
- 26.11.16 When MoU is clear from all angles and acceptable to both the parties, it is sent to the Principal/Registrar for approval through HoD, along with the Note File (Summary of MoU).
- 26.11.17 After approval, PI/HoD/Dean (R&D)/Principal as the case may be along with witness sign the MoU.
- 26.11.18 **Project Responsibility:** These projects are headed by a Principal Investigator (PI), and may have Co-Principal Investigators (Co-PIs)/administrative PI (to operate the project, in case PI is out of station) and the deliverables are the responsibility of the PIs. The NHCE provides the PIs necessary support.
- 26.11.19 After the project is sanctioned, for registration, operation of the Project, Contact: R&D Cell/HoDs of each Department/R&D Coordinators at each Department.
- 26.11.20 After completion of the project, final report should be submitted to the funding agency.
- 26.11.21 A completion certificate should be obtained from the funding agency for successful completion of the project based on which project account will be closed.
- 26.11.22 Payment of honorarium to all those associated with the assignment is made through, after deduction of service tax, and meeting other expenditures as envisaged in the project, the balance receipt of consultancy is distributed as: 34% to NHCE Corpus, 33% to Department Development Fund (DDF), 33% to Personal Contingency Fund (PCF) for Professional Development of PI.

26.11.23 ***Function of the Respective Department Office/R&D Cell during R&D Projects:*** The Department Office/R&D Cell acts as a liaison between the NHCE and industry/government bodies/professional bodies to undertake consultancy projects with specific problem, which are generally of short duration.

26.12 *Testing Projects*

26.13 The word refers to examining a component or a product against a standard. Examples could be testing the strength of concrete in a construction, compaction strength of soil, calibration of pressure gages, and chemical identification of unknown species. Testing is commonly accomplished in general-purpose laboratories and does not require elaborate preparation or data analysis.

26.14 *Guiding Notes*

26.14.1 The procedure for overall operation of the project is similar like that of consultancy project.

26.14.2 The MoU/agreement should be submitted to the Dean (R&D), after getting it forwarded by the HOD/Head of the Lab/Center where the facilities are available, for signature. Forwarding is required to ensure that sufficient resources are available, and the project can be executed.

26.14.3 A MoU/agreement that satisfies all the conditions, the service tax will be approved immediately. Any deviation from the norms will have to be discussed and explicitly approved. The approving authority for any relaxation is the HoD/Dean (R&D)/Principal.

26.14.4 The respective Department Office will make a suitable record of the proposal, and then courier the project proposal to the concerned agency along with the NHCE's cover letter. Alternatively, it may be given to the PI for forwarding it to the agency with due entry in dispatch register of NHCE.

26.14.5 The softcopy of the proposal will be sent to the Department Office of records. The HoD/Dean (R&D)/Principal is the competent authority for approving all project proposals.

26.14.6 **Overheads and Service Tax:** Overheads are not deducted on testing projects. Service tax at applicable rates is deducted. Service tax is not deducted on projects funded by agencies outside India and funds are received in foreign currency.

26.14.7 After deduction of service tax, the balance receipt of testing is distributed as: 34% to NHCE Corpus, 33% Department Development Fund (DDF), 33% Distribution (among participating employees).

26.15 Travel

26.15.1 Visits under projects are permitted with the approval of HoD/Dean (R&D)/Principal. The total number of days permitted to be away from duty for industrial consultancy or sponsored research work by any faculty member shall not exceed four days in a month. The number of days for consultancy and sponsored research projects together can be six days.

26.15.2 The staff member who will be undertaking the travel has to fill up the Proforma for sanction of TA/DA/Registration Fee from Project Funds. PI and Head of Department/Centre have to countersign the form. The travel of Project staff can be approved by the R&D Coordinator of the respective Department. This is forwarded to the HoD/Dean (R&D), for approval. Care must be taken by the PI that the total expenditure on travel does not exceed the amount allotted for the purpose. After performing the journey the final TA bill has to be forwarded to the Accounts Section directly.

26.15.3 International travel in projects can be permitted only with the concurrence of the funding agency.

26.15.4 The proforma for short and long visits abroad by the Project Investigators requires a certification by HoD/Dean (R&D)/Principal that they have made alternate arrangements for carrying out the projects during their absence. Therefore the PIs are to take note of the following, before sending the request to HoD/Dean (R&D)/Principal.

26.16 For short leave (30 days to 90 days)

When one of the investigators goes on short leave, the other investigator(s) should also give his concurrence in writing that he will be available to carry out the project. If by chance all investigators are absent they must get a written concurrence from another faculty member to carry out the project in their absence.

26.17 For long leave (more than 90 days)

26.17.1 Under the normal circumstances, the project investigators should not proceed on long leave without completing the project and submitting the final report to the sponsoring agency.

26.17.2 In case there is more than one investigator, the remaining investigator(s) should give their written concurrence that they will carry out the project during the long absence of the one of the investigators.

26.17.3 However, the long absence of the investigator should have the concurrence of the funding agency. Also, the concurrence of the sponsoring agency should be obtained to nominate any other faculty as an investigator.

26.18 2. Incentives (Financial & Non-financial) to the PIs

26.20.1 The Project Investigators (PIs) can attend Conferences/ Seminars workshops in related areas utilizing the project grants. There is no ceiling for registration fee for attending National or International Conference held in India or abroad. Specific approval of the funding agency is required to utilize the travel grant for foreign trip.

26.20.2 Membership (life or annual) of a professional body and subscription to journals is permitted from projects. The ceiling 200 USD (Approx. Rs.12,000/- to Rs.13,000/-) in a year /per project.

26.20.3 The investigators of the projects shall be reimbursed from the contingency grants of the project (subject to availability of funds under this head) expenditure incurred for use of telephone for project activities. No reimbursement from projects funded by CSIR, AICTE and MHRD.

- 26.20.4 The above telephone reimbursements can include expenses incurred through cell phones (subject to production of certified bills) and to be claimed by submitting written request.
- 26.20.5 The consultants / investigators can be permitted to purchase cell phones only from their “PCF for Professional Development” account.
- 26.20.6 Health Insurance coverage, during visits abroad and personal accident insurance for both PI and project staff on work relating to projects is permitted.
- 26.20.7 Pls can incur, from project funds, expenditure of Rs.1000/- per bill as refreshment expenses towards meetings, interviews, connected with the projects subject to a ceiling of Rs. 5000/- per year per project. For amounts exceeding this limit, approval of the HoD/Dean (R&D) has to be obtained.
- 26.20.8 One annual credit card membership fee can be reimbursed from Sponsored or Consultancy projects.

26.19 Personal Contingency Fund (PCF) For Professional Development

- 26.19.1 The amount marked for PCF for Professional Development under each project is maintained for individual faculty through an identification number (Individual NHCE Remittance A/c). This number will be the Employee Identification number (Four digit number) given by the NHCE.
- 26.19.2 *Following are the eligible items of expenditure under PCF approved by the RDC:*
- 26.19.3 Travel expenses both national and international.
- 26.19.4 Membership in Professional bodies.
- 26.19.5 Reimbursement of taxi, telephone, health & accident insurance during visits in India and abroad.

- 26.19.6 In addition to the above, the following expenditure under PCF may also be included.
- 26.19.7 Purchase of Equipment through normal NHCE Project Purchase procedures. Such equipments should be brought under Departmental Stock Register.
- 26.19.8 Expenses towards maintenance of the equipments purchased. If a permanent equipment is involved, such equipment should be brought under Stock Register.
- 26.19.9 Purchase of technical & scientific books, journal & software for personal professional use.
- 26.19.10 Expenditure for support services with the prior approval of the HoD/Dean (R&D)/ Principal.
- 26.19.11 *Travel:* Travel expenses including air/train fare, per diem expenses, insurance, etc. for both national & international travel as per NHCE norms including advances. Approval of the HoD/Dean (R&D)/Principal and other administrative approvals wherever necessary, to be followed, as at present.
- 26.19.12 Membership of professional (scientific & technical only) bodies both National and International without any limit.
- 26.19.13 Boarding, lodging & entertainment expenses of the visitors for official purposes only.
- 26.19.14 Institution of awards/prizes within NHCE.

26.20 General Information

- 26.20.1 Reimbursement of the expenses can be claimed using prescribed proforma.
- 26.20.2 Reimbursement will be made to the concerned faculty member in all cases except for purchase of equipment.
- 26.20.3 The coordinators may consolidate their reimbursement claims and the claims can be sent to Accounts section once a month.

26.20.4 The Project Accounts will maintain and furnish funds availability position to the coordinators as and when required.

26.21 Receipt of Funds/Grants

Nowadays most of the grants (start or subsequent) are being released through RTGS/e-payment. PIs are requested to coordinate with Funding Agency to obtain a written communication (or email) of release of funds and convey this information to R&D Cell so that the grant may be credited to their project without any delay. In case of extraordinary delays in release of subsequent grants, where funds are required for payment of staff salary and very necessary expenses, PI may request R&D Cell to extend small loans using online form on IRIS to meet such expenses.

26.22 Project Staff Recruitment

26.22.1 *R&D Cell provides following options of recruiting project staff to kick-start the project activities:*

26.22.2 **Casual Appointments:** The PIs can immediately exercise this option and offer a contract of work on casual basis (informal selection) to anyone with suitable qualifications starting from the date of their choice using online form. However such awards are restricted to 3 months only for each individual. These may be given against sanctioned positions or for one-time requirement of a special nature. In the meantime, the process for Project Appointments (renewable on yearly basis) against the sanctioned posts in the project can be initiated.

26.22.3 **Project Appointments:** These appointments are contractual and renewed every year maximum up to the duration of the project or 5 years whichever is less. The request for the same may be initiated by filing offline Form.

26.22.4 The PI has two options for holding these selections in consultation with HoD:- Option I - Walk in test/ Interview; and Option II – Short listing followed by test and / or Interview. The composition of Selection Committee is to be sent to R&D Cell in offline Form.

26.22.5 R&D Cell will post the advertisement on R&D Cell website and a general notice will be published in a National Newspaper twice in a

month indicating the availability of advertised posts under various projects on R&D Cell website.

- 26.22.6 **Assistantships:** PIs are encouraged to select full-time M.Tech/Ph.D. students through M.Tech. & Ph.D. selection process of the Department/Centre and extend assistantship through the Project against sanctioned staff positions. Use online form for sending requests for new assistantships and their renewals.
- 26.22.7 **Engagement on Honorarium:** Honorarium for providing assistance in project activities can be paid to full-time PhD/M.Tech/MS (R)/MBA/MCA/BE Degree students of NHCE and students appointed under assistantship mentioned above as per approved norms using online form. The full time students from outside (during vacations)/casual students registered at NHCE/other working professionals can be engaged for project activities with or without honorarium basis as per R&D Cell norms. The requests for such engagements are forwarded using online form. NHCE supporting staff may also be engaged for specific project and consultancy activities and paid honorarium with the approval of HoD/Dean (R&D)/Principal. The requests for such payments using offline Form need to be forwarded through HoD/HoC in offline Form with justification of work being assigned. No honorarium can be paid to project staff employed in sponsored projects/consultancy jobs.
- 26.22.8 **Hiring of Casual Labour:** Casual labour for special needs of the project can be hired for specific work on contracted amount (normally based on daily wage norms of the NHCE) for a maximum period of 3 months using online form for casual appointment. Beyond this period, such hiring is subjected to the recommendations of the Committee constituted by HoD/Dean (R&D), for which a online "General Request" be forwarded.
- 26.22.9 **Appointing Visiting Scientists:** The PIs can appoint visiting scientists by invitation against a sanctioned post in a project with the prior approval of HoD/Dean (R&D).
- 26.22.10 The detailed norms for recruitment of project staff are available on R&D Cell.**1. Day to Day Expenses**

- 26.22.11 You may draw a permanent imprest up to Rs. 15,000/- for day to day expenses/petty purchase using online form. Approval of HoD/Dean (R&D) is required for drawing imprest beyond this limit. The accounts must be settled at the end of the financial year and can be drawn again in next financial year.

26.23 Purchase of Equipments/Consumables

- 26.23.1 The equipment purchase takes time and needs planning.
- 26.23.2 Please ensure the availability of sufficient funds in the project during the purchase process.
- 26.23.3 Please ensure to follow the Comprehensive Stores & Purchase Rules of the NHCE available at Stores & Purchase Department to avoid any audit objection. Breach of purchase rules may lead to cancellation of order. These purchases can include Purchase/up gradation/buyback of equipments, fabrication, components, office equipments, consumables, stationery, Annual Maintenance Contracts, Annual Rate Contracts for goods and services.
- 26.23.4 *Minor Purchases:* The PI is authorized to make purchases up to Rs. 2 Lacs (minor purchase) himself/herself by means of Purchase Committees/Stores. Purchase up to Rs. 15,000/- may be made without forming purchase committee with the approval of Director (Accounts)/Principal. The purchases for a total value of more than Rs. 15,000/- and up to Rs. 1 Lakh can be done through a Purchase Committee approved by PI/Director (Accounts)/Principal ensuring and certifying the reasonability of the price. If necessary, the buyer may draw an advance up to Rs.1 Lakh using online form for making cash purchases while ensuring no single payment will exceed Rs.15,000/- subject to timely adjustment. Advance payments to vendors or payment against delivery through cheque can be done by taking prior approval of competent authority through HoDs/Director (Accounts)/R&D Cell/Principal.
- 26.23.5 *Bills:* For all purchases kindly make sure that the bills have Sl.No., Date and TIN/PAN no. of the vendor/supplier.
- 26.23.6 *Imports:* As per current rules, all imports (equipment, spare parts or consumables) regardless of their value should be processed through Central Stores & Purchase Section. In case of urgency, prior

approval of the competent authority is required to make any purchase in foreign currency through internet/credit card etc. We are in the process of modifying imports under minor purchase.

26.24 Organising Seminars/Workshops/Inviting Visitors

26.24.1 The project may require to arrange/organize Seminars/Workshops/Meetings etc. PIs are empowered for staging such events where such provision exists and the expenses are within the approved budget from Funding Agency. In case no specific provision exists in the project, expenses within a limit of Rs. 15,000/- may still be sanctioned by HoDs in consultation with PI, however, expenses beyond Rs. 15,000/- require prior approval of Principal.

26.24.2 Visitors from within country: You can invite outside scientist/expert to the NHCE under a project for short duration (up to one week) for project related work with expenses limited to their entitlement. For visits exceeding one week and for any relaxation in entitlement, prior approval of the HoD/Dean (R&D) is required using online form.

26.24.3 Air travel requires the approval of HoD/Dean (R&D) using online form.

26.24.4 Visitors from abroad: You may also invite Students/Researchers/Visitors for project activities from abroad that will require the approval of HoD/Dean (R&D) using online form. In some cases, prior approval of MHRD/Ministry of External Affairs, Government of India is also required and the PI is required to submit additional details in offline Form No. available on R&D Cell.

26.25 Entertainment Expenditure

You may spend an amount limited to 10% of the contingency amount or Rs. 20,000/- per annum whichever is lower on entertainment expenditure. For any relaxation, approval of Associate Dean (R&D) is required.

26.26 Professional Provisions to enable efficient functioning of the Project

- 26.26.1 R&D Cell provides specific provisions that may be charged to the project if required for its smooth functioning.
- 26.26.2 You may purchase Data Card for mobile internet while travelling within the country for project related activities.
- 26.26.3 You may install telephones, faxes, broadband connections for project related activities with the approval of HoD/Dean (R&D) and claim reimbursement from project funds.
- 26.26.4 Part of the overhead charges is credited to the Personal Contingency Fund (PCF) for Professional Development of PIs and Co-PIs as described in the R&D Cell. These are governed by PCF rules available at R&D Cell. The bills within approved norms related to the expenditure out of PCF can be submitted directly to HoD/R&D Cell Accounts along with prescribed offline authorising the purchase.
- 26.26.5 You may purchase professional books. These books need to be entered in department library records before claiming reimbursement. Also publishing Monographs/ Compendium/ White Papers are permitted under this head.
- 26.26.6 PIs or Co-PI may avail the internet facility at home if residing outside NHCE Campus with the approval of HoD/Dean (R&D)/Principal.
- 26.26.7 PIs may opt for Membership of Association/Professional body from the project funds up to a membership fee of Rs.15,000/- for each membership expense. The approval of HoD/Dean (R&D)/Principal is necessary in case the membership amount exceeds this limit.

26.27 OODs

You are permitted to go outside the NHCE on OODs, as per NHCE norms, for work related to Projects, but without affecting your classes or other academic work in the NHCE. The detailed guidelines can be referred at R&D Cell.

26.28 Revision of Budget/Extension of duration:

- 26.27.1 *Revision of Budget:* The expenses under the project are booked under specific budget heads sanctioned by the funding agency in

their sanction letter. At times, due to change in nature of activities, reallocation of funds may become necessary. Such changes are possible only after written sanction/approval of funding agency, particularly, in the case of Govt. funded projects.

- 26.27.2 *Extension*: The extension of duration of a project is possible only with the concurrence of concerned Funding Agency. It must be requested well in time using online form.

26.29 IPR issues

- 26.29.1 The information generated under the projects is usually the joint property of the Funding Agency and the NHCE unless otherwise stated in the Contract/Agreement with a funding agency or a collaborative partner with whom the ownership issue is mutually decided beforehand. The same may be protected by means of filing of copyrights/patents etc. through IPR Cell.

- 26.29.2 The applications for filing Copyright/Patents etc. and subsequent know-how/technology transfers are submitted in consultation with IPR Cell Office. More details are available at IPR Cell.

26.30 Relaxations and Prior Approvals

- 26.30.1 Occasionally, you may require relaxation in provisions because of the special nature of the project activity or special circumstances necessary for smooth functioning of a project; you may request such relaxations from Competent Authority (HoD/Dean (R&D)/Principal/Chairman) by sending your request along with justification to R&D Cell Unit through "Special Request".

- 26.30.2 Competent Authority may vary from HoD/Dean (R&D), Dean (R&D) to the Principal/Chairman depending upon the nature of provision.

- 26.30.3 All requests for prior approvals from any of the competent authority should be sent directly to HoD/R&D Cell office.

26.31 Do's And Don'ts

- 26.31.1 PI is the prime interface between the Funding Agency and Principal/R&D Cell. All correspondences from Principal/R&D Cell regarding the project are routed/approved through PI unless mentioned/requested otherwise by the funding agency.

- 26.31.2 The sanctions in a project and spending norms of funding agency are considered supreme, and in cases, where funding agency has explicit provisions or restrictions with reference to any of the above, those must be followed. For example,
- 26.31.3 Qualifications and salaries of project staff (such as JRF/SRF/RA) sanctioned by various Funding agencies are bound by their respective circulars. PIs cannot, at their discretion, recruit project staff in such projects at NHCE scales without obtaining prior sanction from the funding agency.
- 26.31.4 Under CSIR funded projects, all appointments are required to be sent to CSIR for their approval.
- 26.31.5 Some funding agencies do not permit certain kinds of expenditure such as furniture etc. from the project. PIs are advised to read such provisions from the website of funding agencies, a list of prominent funding agencies along with their website addresses is also available at R&D Cell.
- 26.31.6 For timely release of yearly grants, it is important and necessary to submit progress report/ completion report, contingent bills, utilization certificates, statements of expenditures etc. in time to the funding agency. HoD/R&D Cell helps in preparing all financial statements on the request of the PI at the end of a financial year. Provisional statements may be requested in between the financial years as needed. Please provide sufficient time for such requests to avoid inadvertent errors.
- 26.31.7 In case of CSIR projects, NHCE is entitled to claim an overhead of 5% from CSIR when such reports are submitted in a timely manner.
- 26.31.8 Do not incur expenses after the sanctioned duration of the project. Request for extension of projects should be made to funding agencies well in advance.
- 26.31.9 While making a purchase, make sure not to pay Excise Duty as NHCE is exempted from paying it.
- 26.31.10 Under unavoidable circumstances, project positions can be downgraded but within the same cadre. For any alteration in

sanctioned position, prior approval of HoD/Dean (R&D) and/or Funding agency is necessary.

26.32 Note:

The above guidelines have been drawn to acquaint the PIs/Co-PIs of the existing provisions for running of the projects. However these are subject to certain restrictions and conditions and are constantly revised to enhance the smooth functioning of projects at NHCE.

26.33 Removal of Difficulties

26.33.1 Notwithstanding anything in the above guidelines, the Principal/RDC may take such measures/modify the guidelines as may be necessary in respect of protecting the interest of NHCE and smooth conduct of sponsored research projects. The NHCE reserves the right to change the guidelines from time to time and only the latest rules will be applicable to all the ongoing projects irrespective of the year of sanction of the project(s).

26.33.2 *Courtesy: IITs/Anna University/PSG College of Technology/National design and Research Foundation*

26.33.3 *References:*

<http://ird.iitd.ac.in/content/intellectual-property-rights-ipr>

<http://ird.iitd.ac.in/policy/IPRPoly-IITD.pdf>

http://ird.iitd.ac.in/fulltext/OperationalGuidelines_RP_05122014.pdf

http://www.iitk.ac.in/olddord/R&D_%20manual.pdf

http://www.iitmandi.ac.in/administration/files/officialdocs/Rules_Regulations_SRIC_IITMandi.pdf

<https://www.iitm.ac.in/icsr>

<https://icsr.iitm.ac.in/project.php#box7>

Chapter XXVII

BUSINESS INCUBATION GUIDELINES AND POLICY

27.1 Preamble: The need to support business incubation activities

In tune with the global trends in higher technological education, New Horizon College (NHCE) encourages entrepreneurship among the Faculty, Staff, Research Scholars, and Students. NHCE will directly and actively support the incubation of "NHCE Incubated Companies" by its Faculty/ Staff/Research Scholars/Students. Some of these companies may be founded based in part or in full on technologies/IP developed by the College, or jointly with it in collaborative mode. NHCE may also provide incubation support to external Start-ups with which Faculty/Staff/Research Scholars/Students are associated as consultants or mentors. Such external Start-ups may sometimes license technology/IP developed by NHCE a priori. The commercialization of advanced technologies developed at the College as a result of incubation will greatly benefit the College as well as society at large and will contribute to the economic resurgence of our country.

27.2 Definitions

- 27.2.1 NHCE Member(s) (Henceforth called MEMBER):** Any permanent faculty/staff on duty or on short/long leave, research scholars and students having live registration.
- 27.2.2 NHCE Incubation Society (Henceforth called -SOCIETY):** A Society registered by and in NHCE, under the Societies Act, for the primary purpose of promoting and fostering Incubation of Start-up companies involving one or more NHCE Member(s), by administering and implementing NHCE's policies on incubation.
- 27.2.3 NHCE Incubated Company (Henceforth called COMPANY):** A registered Company promoted and/or invested in by NHCE Member(s) singly or jointly with others, or those incubated by any of the NHCE incubators located in NHCE premises or elsewhere, and declared by the SOCIETY as such, or an external start-undeclared by the SOCIETY as such.
- 27.2.4 External Start-up (ESU):** A registered Company promoted and invested in by non-NHCE Member(s) and not located in the NHCE/SOCIETY/incubator premises.

- 27.2.5 **Incubator:** A physical and/or virtual unit that extends various forms of support for Start-ups and engages in specified relationships with them on behalf of NHCE and/or SOCIETY.

27.3 Types of Start-ups with NHCE involvement

- 27.3.1 SOCIETY may be actively involved in pre-incubation and incubation of a Start-up company promoted by one or more MEMBER, or by others.
- 27.3.2 MEMBER may promote an NHCE Incubated Company (COMPANY).
- 27.3.3 MEMBER can be involved with an External Start up (ESU).
- 27.3.4 SOCIETY through its incubators may be involved with a COMPANY or ESU.

27.4 SOCIETY's Governance Structure

- 27.4.1 The SOCIETY will have a Governing Council (GC). The GC may have the following composition:
- 27.4.2 *Principal, NHCE- Chairperson.*
- 27.4.3 *Registrar, NHCE*
- 27.4.4 *Professor-in-charge - an NHCE Professor to be nominated by the Principal, NHCE.*
- 27.4.5 *Dean (R&D), NHCE.*
- 27.4.6 *Dean (Student Affairs) and/or Dean (Academics) of NHCE.*
- 27.4.7 *An external Expert having a good track record in incubating companies.*
- 27.4.8 *An external Expert with experience in IPR and Licensing.*
- 27.4.9 *An external Expert with experience in Venture Capital/Private Equity.*
- 27.4.10 *An NHCE faculty member, preferably below the age of 40 and with familiarity of Start-ups and intellectual property legal and*

commercial transactions including Patenting, Technology Transfer, Licensing.

27.4.11 Except the ex-officio members, the remaining members will serve for a period of up to three years, and can be re-appointed for further periods. The Principal, NHCE, will nominate the initial GC, which will make subsequent appointments.

27.4.12 In addition to its above members, the GC may invite experts in finance, audit, IPR, and other such areas, to its meetings as needed. It may also constitute sub-committees including such outside experts for specific tasks when needed.

27.5 SOCIETY's active support to COMPANY

27..1 The SOCIETY will carry out on behalf of the College all dealings with Start-ups directly and/or through its incubators. It will also determine whether a Start-up is to be designated as an "NHCE Incubated Company" (COMPANY). SOCIETY will actively support the COMPANY with a combination of inputs, which could include:

27..2 *Permission to Use Branding in the form of "Incubated By NHCE",*

27..3 *Advice Pertaining to Legal and Commercial IPR Transactions,*

27..4 *Office and Operational Space,*

27..5 *Permission to Use Laboratories, Workshop Facilities and Equipment,*

27..6 *Logistics Support,*

27..7 *Business Management Advice,*

27..8 *Networking Support,*

27..9 *Mentoring,*

27..10 *Seed-Fund When Possible,*

27..11 *Monitoring,*

27..12 as per the prevailing NHCE norms pertaining to all the above.

- 27..13 SOCIETY's active support will be provided nominally for duration of three years from the date of formal approval. There may be a pre-incubation period of utmost one year. However, on a case-by-case basis, the SOCIETY may decide to support a COMPANY for a maximum period of five years from the date of formal approval, if such support is warranted.
- 27..14 The SOCIETY will govern multiple Incubators associated with different constituents of NHCE. While each Incubator will have and enjoy the flexibility and independence it requires for success in the specific areas of its focus, the SOCIETY will ensure a uniform policy of governance.

27.6 MEMBER's/SOCIETY's involvement in External Start-up

- 27.6.1 A MEMBER will be permitted to involve with an ESU, either on a full- or part-time basis as promoter/adviser/consultant/any other approved role. The MEMBER will be permitted to use specified physical and/or intellectual resources (e.g., workshop equipment, laboratory instruments, computing resources, and assistance of MEMBER) of NHCE as per its prevailing R&D norms. Any such use of NHCE resources will be governed by an agreement, which will include the contents, terms and conditions and other implications of the prevailing NHCE IPR Policy.
- 27.6.2 If a MEMBER makes financial investments in an ESU without:
- 27.6.3 *making any other contribution in the form of technical/managerial consulting advice, or*
- 27.6.4 *any involvement of NHCE in the form of any commercial transactions of IP, or any use of NHCE facilities,*
- 27.6.5 such investments will be treated as a private matter of the MEMBER. The Society will have no role to play in such instances. The MEMBER should however declare this to NHCE in order to avoid any conflict of interest situation. If the ESU awards a consultancy project to the MEMBER, the prevailing NHCE rules and regulations for consultancy projects will apply.
- 27.6.6 If, however, the MEMBER, and/or SOCIETY or any of its designated entities, are provided shares in the company as compensation in part or full for technical/managerial consulting or for any support extended

by Member, NHCE, or the SOCIETY or its Incubators, the MEMBER and/or SOCIETY may be considered to be involved in the incubation of the ESU. In such a case, the ESU may seek to be designated as a COMPANY by the SOCIETY. The SOCIETY will then take an appropriate decision based on the significance of the role played by the MEMBER/SOCIETY in the ESU.

- 27.6.7 Only a Start-up formally designated as an "NHCE Incubated Company" by SOCIETY may publicize itself as such. All other Start-ups must desist from using the name or logo of NHCE in their publicity material in spite of any other form of engagement they may have with NHCE.

27.7 Rules Governing Intellectual Property (IP)

- 27.7.1 A MEMBER, while on duty or on leave, may be involved in the creation of IP either solely or in association with a COMPANY or ESU.
- 27.7.2 If such IP is created with the involvement of the MEMBER, then any contract between NHCE and the Start-up specifying the sharing rights for the IP will hold good.
- 27.7.3 In the absence of such a contractual obligation, the prevailing NHCE IPR Policy, rules and regulations shall serve as the reference in such a context.
- 27.7.4 In case the MEMBER develops any IP while on leave at the COMPANY which leverages prior IP developed earlier at NHCE, MEMBER must ensure the prior IP is properly licensed by the COMPANY as described below in Section 7.

27.8 Engagement Process

- 27.8.1 The MEMBER must begin his/her engagement with a COMPANY by submitting proposal through Head of his/her Department/Section to Principal/Dean (R&D), who will determine the eligibility of the MEMBER to engage with a COMPANY or ESU. After ascertaining eligibility, Principal/Dean (R&D) will forward the proposal to the SOCIETY. After the SOCIETY accepts the proposal, the MEMBER will be authorized to perform the actions necessary for pre-incubation or incubation, including registration of the Start-up, fund raising, team development, product/services development, consulting, market research and development, etc.

- 27.8.2 Prior to embarking on these activities, an agreement must be signed between the concerned COMPANY/ESU and the SOCIETY to establish the mode and nature of involvement of the MEMBER in the COMPANY/ESU. Such an agreement is necessary with a COMPANY/ESU when:
- 27.8.3 *its shares are given to the MEMBER or the SOCIETY as compensation in part or in full for the MEMBER's contribution, and/or*
- 27.8.4 *NHCE's technology/IP is licensed to the COMPANY/ESU, which wishes to pay for the same in part or full in the form of shares.*
- 27.8.5 As part of the agreement, the COMPANY/ESU shall allot to SOCIETY a certain percentage of its shares, up to a maximum of 9.5%. The exact percentage of shares to be allotted and their dilution status will be negotiated based upon the estimated value of support/assistance provided by NHCE, SOCIETY and the MEMBER to the COMPANY/ESU
- 27.8.6 In addition, the COMPANY/ESU must also enter into an agreement with NHCE through the Office of the Dean (R&D) if *the COMPANY/ESU intends to pay cash in part or in full to NHCE for licensing IPR owned by NHCE*
- 27.8.7 *the MEMBER provides consultancy to the COMPANY/ESU or undertakes research-based consultancy as per R&D norms while on duty.*

27.9 Modes of MEMBER's engagement with Start-ups (COMPANY or ESU)

27.10 Faculty/Staff Involvement

27.11 Capital Investment: Faculty/Staff may be involved in the Start-up by providing capital investment alone in return for shares, with no other managerial, technical or mentorship involvement whatsoever. All shares thus allotted can be retained by the concerned Faculty/Staff, and the transaction is treated as a purely private commercial transaction of no concern to the College. The Member must declare this to NHCE/SOCIETY, so as to avoid conflict of interest situations.

27.12 Sabbatical/Extra-ordinary Leave (EOL): Faculty/Staff MEMBER may avail of sabbatical/EOL as per the prevailing NHCE leave rules and may work full time for the COMPANY or ESU. If the compensation to the faculty/staff for this is through shares of the COMPANY/ESU in part or

in full, in lieu of cash payment, the MEMBER must declare the same to the SOCIETY. No compensation is due to NHCE as long as the involvement of the MEMBER, for which the compensation was paid, completely ceases after the leave period.

- 27.13 *Special Additional EOL:*** In addition to the EOL normally allowed, a Faculty/Staff may be allowed additional EOL for a maximum period of 12 months for engaging with Start-ups. In such cases, the Start-up must compensate NHCE or SOCIETY with an equivalent of 1.5 times the prevailing gross pro-rata salary of the Faculty/Staff for the duration of this period in the form of cash and/or shares.
- 27.14 *Part Time:*** A Faculty/Staff member is allowed to participate in a Start-up on a part time basis as per NHCE consultancy norms with regard to the extent of time spent on such participation. The compensation to the Faculty/Staff member may be in cash for which NHCE norms for consultancy projects will be applicable. Instead, a Faculty/Staff member is allowed to obtain shares of the Start-up company as compensation for the engagement with the company. In such a case, the Faculty/Staff member must apply for approval for engagement with the Start-up, and the COMPANY/ESU must enter into an agreement with the SOCIETY. In such cases, not less than 25% of these shares obtained are transferred to the SOCIETY, and the remaining to the faculty/staff. The total number of shares of the Start-up that SOCIETY holds at any time should not exceed 9.5% of the total allotted shares of the Start-up. In all these cases, the COMPANY/ESU must enter into an agreement with the Office of Dean (R&D) as described above in Section 7.
- 27.15 *Flexi-Time/Retainer Model:*** A Faculty/Staff member is allowed to participate in a Start-up on a flexi-time basis as per NHCE consultancy norms/on mutually agreeable terms with regard to the extent of time spent on such participation without affecting the academic schedules. The compensation to the Faculty/Staff member may be in cash for which NHCE norms for consultancy projects will be applicable or on any other compensation package with mutually agreeable terms and conditions with due prior approval of Principal/Dean (R&D)/SOCIETY before engagement. In such a case, the Faculty/Staff member must apply for approval for engagement with the Start-up, and the COMPANY/ESU must enter into an agreement with the SOCIETY. In all these cases, the COMPANY/ESU must enter into an agreement with the Office of Dean (R&D) as described above in Section 7.

27.16 *Research Scholars'/Students' Involvement*

27.17 *Full Time:* A Research Scholar/Student can seek permission from NHCE to take special leave for a semester, or an additional period for which formal permission is granted by NHCE, to work for a Start-up on a fulltime basis. This may be treated as withdrawal/ additional academic work/similar to internships etc under permission from NHCE for the specified period for which such special leave is formally granted. The Research Scholar/Student, on returning, has to satisfy all norms (including maximum duration norms of his/her respective programme of study) in order to earn a degree. If the Research Scholar/student is compensated by the Start-up in the form of cash and/or shares he/she must assign to the SOCIETY 5% of the total cash/shares allotted to him/her by the Start-up.

27.18 *Part Time:* A Research Scholar/Student can seek permission from NHCE to work for a Start-up on a part time basis. The NHCE part-time engagement norms in projects during a semester/vacation period will apply. If the Research Scholar/student is compensated by the Start-up in the form of cash and/or shares he/she must assign to the SOCIETY 7.5% of the total cash/shares allotted to him/her by the Start-up. In this case, the courses that he/she registers for will be regulated by the respective Faculty Advisor(s) or Training and Placement Department or RDC/DC, as applicable.

27.19 *Role of MEMBER in Start-up*

The MEMBER may play an executive role/non-executive role in a Start-up depending on whether they will be engaged fulltime or part-time. The MEMBER may be involved full time only after obtaining permission from the College for the appropriate type of leave. The part-time engagement will be as per existing NHCE consultancy norms. The MEMBER can take up an executive role only if they are engaged fulltime with the Start-up.

27.20 *Conflict of interest*

27.21 When a MEMBER utilizes leave of absence (Sabbatical/EOL, or any applicable equivalent) for direct, active participation in a COMPANY /ESU, it is obligatory that the concerned Head(s) of Department be informed at least three months in advance. Shorter notice needs to be specifically approved by the Head of Department. This is to ensure that

the academic programmes of NHCE are not affected at any point in time.

- 27.22** It is essential that the MEMBER must avoid any conflict of interest between their roles in NHCE and in the COMPANY/ESU. This is particularly important if there are NHCE resources in their control which are also sought by the Start-up with which they are involved. A similar situation arises if they are developing IPR in research activity/project in NHCE that is closely related to the IPR they may be developing when on leave and working in the Start-up. Another situation arises when the relative shareholding of the MEMBER and SOCIETY is sought to be changed by infusion of fresh capital in the Start-up by the MEMBER. While such a move could be a bona-fide move on the part of the MEMBER to support the Start-up, it could potentially have a mala-fide motive of changing the relative shareholding pattern prior to some anticipated upward evaluation and infusion of investment by other parties. Yet another potential conflict of interest arises when shares are allotted by a Start-up to a close relative (spouse, children, and parents) of a MEMBER who is involved with the Start-up.
- 27.23** The SOCIETY will determine the potential areas/activities where there is conflict of interest in the case of each MEMBER who applies for approval for engaging with a Start-up, and arrive at an agreed upon methodology for ensuring transparency in decision making in respect of these activities/areas. The SOCIETY may, if it chooses to, set up an -oversight committee of faculty/staff for specific relationships to ensure that conflicts of interest do not arise. The SOCIETY may also require the MEMBER to declare their financial interests, and those of their close relatives, in the Start-up, at the time of engagement, as well as whenever a change in such interests takes place due to additional investment in the Start-up, or payment/share allotment by the Start-up. In any case, every MEMBER involved with a Start-up must file a declaration periodically with the SOCIETY irrespective of whether there is a change in their financial interests in the Start-up or not. The required periodicity will be determined by the SOCIETY. The SOCIETY reserves the right to obtain a third-party evaluation of the value of the start-up's shares before an MEMBER or their close relative(s) makes additional investments in the Start-up. Such an evaluation will be carried out in a reasonable time-frame. If the SOCIETY deems it fit, it may choose to make an investment in the Start-up of its own at the

same price applicable to the MEMBER and obtain shares for the corresponding amount. The SOCIETY reserves the right to make the acceptance by the Start-up of the additional investment by the MEMBER or their close relative(s) conditional on the acceptance of the corresponding additional investment by the SOCIETY.

27.24 In case a member of the SOCIETY Governing Council has shares in a COMPANY, the Governing Council will determine whether the said member should resign from the Council, in order to avoid potential conflict of interest, or only recues himself/herself when matters pertaining to the Start-up with which he/she is involved are discussed.

27.25 Withdrawal of Support

27.25.1 NHCE reserves the right to withdraw its support to any Start-up that it engages with, following a due process of notice. This may involve withdrawal of access to NHCE's facilities, and/or withdrawal of permission to MEMBER to engage further with the Start-up in any manner, though they and the SOCIETY can continue to hold the shares they already possess in the Start-up. It will also involve withdrawal of the status of the Start-up as a COMPANY, from which point the Start-up will be required to desist from advertising itself as such thereafter.

27.25.2 Should the need arise; the SOCIETY may also seek modifications to the agreement signed with the Start-up through an amendment, in order to protect NHCE's fair name and its interests.

27.26 Protection of NHCE's Fair Name

When a Start-up is designated as a COMPANY, it is permitted to advertise itself as such wherever such advertisement is appropriate. However, such advertising carries with it the risk that in case the COMPANY indulges in improper behaviour or dealings, NHCE's fair name will be tarnished by association with the COMPANY. In order to protect itself from such risks, NHCE, through the SOCIETY, may seek a seat on the Board of the COMPANY, without liability, in order to ensure transparency in all its dealings. The SOCIETY may seek access to the un-audited and audited balance sheets of the COMPANY. In certain cases, the SOCIETY may even seek visibility of payments above a specified value made by the COMPANY, before such payments are made. All such requirements will be specified in the agreement that will be entered into by the SOCIETY with the COMPANY.

27.27 Removal of Difficulties

Notwithstanding anything in the above guidelines, the Principal/RDC/SOCIETY may take such measures/modify the guidelines as may be necessary in respect of protecting the interest of NHCE/MEMBER/COMPANY/ESU/Incubate (*as a Win-Win Model*) and smooth conduct of activities related to Start ups. The NHCE reserves the right to change the guidelines from time to time and only the latest rules will be applicable to all the ongoing activities irrespective of the year of sanction of the activities.

Chapter XXVIII

INTELLECTUAL PROPERTY RIGHTS POLICY

28.1 Prelude

- 28.1.1 Faculty, staff and students of New Horizon College of Engineering (NHCE) are engaged in Research & Development work of diverse nature. Many of these R&D Programmes lead to development of Intellectual Property (IP) in the form of patents, know-how, copyrights, designs, instruments, devices, processes, specimens, software and other inventions, which can be commercialized either with or without registration under the Patents Act/Copyright Act. Such a commercialization of research results/exploitation can be of considerable socio-economic benefit/progress to the country. The College, therefore, encourages the protection and licensing of such IP to organisations which can effectively utilize the same for commercial exploitation. This would yield financial returns to the College, and partially support the R&D efforts.
- 28.1.2 Intellectual property could result from research supported by the College or government departments, or from research supported by industry or independent research organizations such as ISRO, DRDO, etc. Funded research may impose contractual obligations on the College with respect to ownership/licensing of intellectual property, which have to be agreed upon clearly and explicitly at the time the contracts are entered into. This document states the policy of the College with respect to protection, ownership and licensing, of IP that is generated with/without external funding.

28.2 Guidelines:

- 28.2.1 This IPR policy is to be followed in all matters related to IPR at the New Horizon College of Engineering (*Hereafter refers only as "College"*). In view of the evolving nature of the IP scenario, this policy may be modified from time to time to suit the emergent needs, or on a case-by-case basis.
- 28.2.2 The IPR committee will address such specific cases by using this IPR policy document as the guideline. Centre for IPR is the nodal agency of the College for processing all IPR related matters addressed in this policy, viz. any **intellectual property** generated out of the intellectual

effort of the creator/inventor employed temporarily or permanently at College or studying at College.

28.3 Objective

- 28.3.1 The objective of this policy document is to lay down the policy to:
- 28.3.2 *foster, stimulate and encourage creative activities in the widest sense in the areas of technology, sciences and humanities.*
- 28.3.3 *protect the legitimate interests of faculty/scholars/students of the College and the society and to avoid as far as possible conflict of opposing interests.*
- 28.3.4 *lay down a transparent administration system for the ownership control and assignment of intellectual properties and sharing of the revenues generated by the intellectual properties generated and owned by the College.*

28.4 Definitions

- 28.4.1 The meaning of terms in these rules is given below, unless the context otherwise requires.
- 28.4.2 **Abbreviations:** Personal Contingency Fund (PCF) for Professional Development, Departmental Development Fund (DDF), Research Management Fund (RMF)
- 28.4.3 "**College**" means the New Horizon College of Engineering, Bangalore.
- 28.4.4 "**Copyright**" means the exclusive right granted by law for a certain period of time to an author to reproduce, print, publish and sell copies of his or her creative work.
- 28.4.5 "**Creator**" or "**Inventor**" means any employee of the New Horizon College of Engineering, Bangalore and includes those who are on probation, those who are employed on temporary basis either in the College and/or in projects and those who are research workers, research scholars or students who are responsible for the creation of an Intellectual Property, using the facilities of the College.
- 28.4.6 "**Intellectual Property**" broadly includes any property generated out of intellectual effort of the creator(s). It includes but not limited to

- 28.4.7 *New and useful scientific and technical advancement in the form of innovations, inventions, products and processes, computer hardware and software, materials, biological varieties etc. which are patentable.*
- 28.4.8 *Industrial and architectural designs, models, drawings, software, creative, artistic and literary works teaching resource materials generated, records of research etc., which are copyrightable.*
- 28.4.9 *Trademarks, service marks, logos etc.*
- 28.4.10 **"IPR Committee"** The committee constituted by the Principal from time to time to evaluate and make recommendations regarding IP related issues.
- 28.4.11 **"Patent"** means a patent granted under the provisions of the Indian Patents Act, 1970.
- 28.4.12 **"Patentee"** means the person for the time being entered on the Register of Patents kept under the Indian Patents Act, 2002 as the generator or proprietor of the patent.
- 28.4.13 **"Principal"** means the Principal of the New Horizon College of Engineering, Bangalore.
- 28.4.14 **"Revenue"** is any payment received as per an agreement by the College usually for legal use of an Intellectual Property through a license.

28.5 Ownership

- 28.5.1 ***Inventions, Designs, Integrated Circuit Layouts and other creative works:***
- 28.5.2 College shall be the owner of all intellectual properties (IP) including inventions, software, designs and integrated circuits layouts, specimens, created by creators, unless specific agreements/contracts are entered into by the College as described below, prior to the creation of the IP, with an agency funding the research leading to the creation of the IP, or with a temporary employee or student.
- 28.5.3 Individual faculty members and/or students involved in any creative work on their own which has resulted in creation of IP will have their ownership on IP. However, if, they have utilized any of the funds/seed money from the College or through the funding of any agency then

they have to follow the norms/agreement of such funding agency/ College. Any individual (faculty members/students/employees) need to acknowledge explicitly the support provided by NHCE and use their respective designations/ affiliations with NHCE as mentioned in their ID Cards. In individual cases, the protection of IP is the responsibility of the concerned creator/inventor and they can avail the services of IPR Cell at NHCE for filling patents/copyrights/trademarks etc as applicable. However, they have to bear the cost of filling and maintenance of IP.

- 28.5.4 Specific provisions related to IPR made in contracts governing the collaborative activity shall determine the ownership of IP arising out of sponsored or collaborative research, or consultancy assignment. The MoU/contract for such a project may require *(a) joint ownership of such IP between NHCE and the sponsor, or (b) full ownership of such IP by the sponsor, or (c) exclusive licensing of such IP owned by the College to the sponsor or its nominees, or (d) a separate agreement/contract to be entered into at a later date consequent to creation of such IP, for exclusive/non-exclusive ownership/licensing of the IP.* In all these cases, the contract/agreement/MOU will specify conditions such as right of first refusal to such IP if applicable, the fee/royalty payable for ownership/licensing of such IP as applicable, and also specify how the patent filing, registration and maintenance costs will be borne by the sponsor and/or the College. When faculty/staff enter into an agreement for undertaking sponsored research or consultancy, they are required to assist the College to determine which of the above options is applicable to the particular project given the nature of research proposed to be undertaken, the degree to which prior relevant expertise of the researchers and College facilities are leveraged, and the amount of funding provided.
- 28.5.5 If an IP is created as a result of a sponsored research project or consultancy assignment/project where the contract/MOU/agreement do not specify the ownership and/or licensing of such IP, the College and the sponsor shall jointly own the IP. The College may however, if it deems appropriate, enter into a separate agreement/ contract with the sponsor for licensing the IP to it, which will specify payment of additional fees /royalty.
- 28.5.6 An employee of the College who is on sabbatical or other forms of long leave, or a student who is on leave or is permitted by the College to be employed In an organization while being registered as a student, and

who is engaged in research in any of the organization with the permission of the College, will be permitted to directly negotiate with the organization, the terms of any IP sharing that is generated, in its entirety and without any use of College resources, during the duration of the engagement in that organization. However, any revenue that is received by the employee/student subsequently while on duty at the College, as royalty/fees for the IP generated as above, shall be subjected to the prevailing IPR revenue sharing norms of the College. IP developed by the said employee or student during this period without involvement of creators who are employees or students of the College will be outside the purview of this policy.

- 28.5.7 However, in case the IP so created by the employee/student, during the leave period as described above, is based in part or full on prior IP developed at the College, the employee/student is required to inform the College and enable the College to enter into a licensing agreement with the organization in which the employee/student is temporarily engaged.

28.6 Copyrightable Works:

- 28.6.1 Ownership of copyright of all copyrightable work including books and publications shall rest with the creator of the original work with the following exceptions:
- 28.6.2 If the work is produced during the course of sponsored and/or collaborative activity, specific provisions related to IPR made in contracts governing such activity shall determine the ownership of the copyright.
- 28.6.3 College shall be the owner of the copyright of work, including software, created with significant use of College resources.
- 28.6.4 College shall be the owner of the copyright on all teaching material developed as part of any of the academic/FDPs/MDPs/distance learning programs of College. However, the creator(s) shall have the right to use the material in her/his professional capacity.
- 28.6.5 **Trade Mark(s) / Service Mark(s):**
- 28.6.6 Ownership of trade mark(s), service mark(s) logos created for College shall be with the College.

- 28.6.7 In cases of all IP produced at the College, the College strongly desires to retain a non-exclusive, free, irrevocable license to copy/use the IP for teaching and research purposes only, consistent with confidentiality agreements entered into by the College, if any. This is to enable the College to benefit from IP created by its staff and students for carrying out its teaching and research functions.
- 28.6.8 **Evaluation and Management of IP**
- 28.6.9 The Patent Cell/Office of Centre for IPR of the College is responsible for evaluating, protecting, marketing, licensing and managing the IP generated at the College. The creators of the IP shall provide all the necessary information to IPR Cell to enable it to determine whether the College desires to own and manage the IP. An Invention will typically be patented by the College if it has ultimate commercial motivation and viability, even if it is not in the immediate future. If the College decides not to own and manage the IP, it shall permit the creator(s) to file patents and protect the IP on their own. However, share of the College in revenue resulting to the employee/student from licensing from such IP will be determined as described in Section 9. In the case of patentable IP, it is essential that patent protection is filed before publication or disclosure in any other form in public domain of the patentable IP.
- 28.6.10 The IPR Committee will examine the IP application and will then make specific recommendations regarding Patentability/ Registration of the proposal by the College. The committee may seek the assistance of experts for this purpose. In all these endeavours confidentiality of the IP shall be strictly ensured.
- 28.6.11 In case the contract/agreement/MOU with a sponsor specifies that the sponsor will manage the process of filing of patents and bear the associated costs, the creators will provide information to the Patent Cell/Office of each such filing/application. Details of the invention need not be provided in such cases in the interest of confidentiality, if so desired. Progress of the application through various stages, such as PCT, national phase, etc will be informed to the Patent Cell/Office by the creators as and when the creators become aware of such progress.

28.7 Registration of Patents /Copyrights:

28.7.1 *Filing of Applications in India*

28.7.2 Creators of the know how/designs/instruments/devices/processes/specimens and other such IP, who want to get patent(s) for the patentable IPs are required to make an application for the purpose to the Dean, R&D as per the procedure specified by the College at the time. In case, a sponsor of the research leading to the IP has contractually undertaken the responsibility of filing of applications, the creator may interact with the sponsor for the filing, after informing the Patent Cell/Office of the same. The creator is required to keep the Patent Cell/Office informed of the progress of the application as it goes through various stages. The details of the application such as title, names of inventors, etc must be provided, although the invention details need not be provided as long as the details are not public knowledge in the patenting process.

28.7.3 Creator(s) are encouraged to file a provisional patent as soon as possible in order to protect their rights to the IP. As part of this process, a search report can also be obtained of existing patents that may relate to the key contributions of the proposed patent, to assist the creator(s) in their decision regarding filing of an application. If the creator(s) can pay for the cost of provisional filing from (a) the funds of the research project resulting in the IP, or (b) the PCF(s) of the creator(s), or (c) DDF of the department(s) of the creator(s) with approval of the concerned department Heads, or (d) personal financial resources of the creator(s), the permission for filing of provisional patent will be given automatically before evaluation of the application made by the creator(s) by the IPR Committee. In such cases, the technical details of the invention need not be provided to the Patent Cell at this stage in the interest of confidentiality. However, should the College after due evaluation decide not to manage the IP, the provisional application will lapse, unless the creator(s) decide to take up the subsequent stages on their own. In such cases, the College will waive its rights to the ownership of the patent rights. If College decides to jointly or fully own and manage the IP, it will bear all costs related to filing and protection after the date on which it decides to do so. In case, the creator(s) paid for the provisional filing from personal financial resources or PCF, these costs will be reimbursed after the College decides to own and manage the IP.

28.7.4 IP-related information will either not be disclosed at all, or be provided on a need-to-know basis to certain employees of the College. All College employees associated with any activity of College shall treat all such IP-related information, which they may have access to as part of their official duties, as confidential. Such confidentiality shall be maintained till such time as required by the College or by the relevant contract, if any, between the College and concerned parties, unless such knowledge is in the public domain or is generally available to the public.

28.7.5 ***b). Filing of Applications in Foreign Countries***

28.7.6 The College may consider requests for registration of Patents in foreign countries, based on the merit of the IP. Typically, the process to be followed in such cases is the filing of a provisional application, detailed evaluation of the commercial potential of the IP in the countries proposed for filing, filing of PCT application in case such potential is present, followed by national phase filing in the selected countries. During the time before the process reaches the national phase, the commercial potential will be continually assessed, and if at any time it appears that the commercial potential in a foreign country appears to be low, College may decide to not file in the particular country. During this period, the creator(s) are also encouraged to apply for financial support for international filing being provided by several ministries to public institutions. If the College decides not to file such a patent in any foreign country, the College shall assign the rights for the IP in that country to the creator(s) and permit the creator(s) to protect the IP in that country either on their own or in partnership with a sponsor. Any revenue accruing to the creator(s) as a result of exploitation of the rights assigned to the creator(s) in that country will be subject to the rules for sharing of revenue with the College that are applicable to the creator(s) as per their employment / enrolment contracts. The creator(s) may seek re-imburement of the costs borne by them for protection of the IP in that country from the revenue prior to sharing with the College.

28.7.7 In case the patenting costs are borne by the sponsor of a research project as agreed upon in the contract / agreement, the Patent Cell only needs to be kept informed of the progress of the international patent application(s) through various phases such as PCT, national phases, etc. The sponsor may choose any legal firm of their choice for

the filing. If the College takes up the filing, the creator(s) are required to engage one of the legal firms approved for filing from time to time.

28.8 Renewal of Patents

The College will pay the Patent Fees for the first seven years in all cases where patent is taken by the College. If it is a joint patent with a sponsoring agency the patenting costs may be equally shared. If the patent has been commercially exploited within the first seven years, the College shall pay the Patent Fees for the remaining period of the life of the patent. If the patent has not been commercially exploited within the first seven years, the College and the creator(s) shall share the subsequent instalments of renewal fees on 50:50 basis. The creator(s) are permitted to pay their share of the costs from their PCF. If the creator does not show interest in such renewals, the College can either continue maintenance of the patent by paying the fees for its full term or withdraw application for Patent protection at its discretion.

28.9 Confidentiality of IP

- 28.9.1 Every creator in the group as well as everyone involved in the protection process will not disclose the details of the IP to any person/organization without prior written permission of the College.
- 28.9.2 In case of thesis and other such written documents containing details of patentable IP, all measures to avoid attracting the public disclosure clause leading to denial of patent may be taken by creators. It is best if the creators make provisional patent filings before documenting the details of the IP in theses, papers and other documents.

28.10 Licensing of IP

- 28.10.1 College, through its Patent Cell, or its agents, or the creator(s) may approach external agencies for licensing of IP owned by it. All agreements shall be signed by the Dean R&D and the creator(s) of the IP being transferred, on behalf of the College.
- 28.10.2 In case of IP involving more than one creator, a coordinator from among the creator(s) shall be identified by the creators, for IP protection purposes. At this stage, all members of the group of creators shall sign a revenue sharing agreement for the IP being transferred. This revenue sharing agreement may be modified at any time on mutual consent among the creators and intimated to the Dean IC&SR.

Any conflict with regard to revenue sharing among the creators will be resolved by the College which is binding on all the creators of the IP.

28.11 Revenue Sharing

- 28.11.1 The revenue shall be divided among the creators as per the prevailing IPR revenue sharing norms of the College at the time of signing of the agreement. In case the patent filing and registration costs for one or more countries are not borne by the College, the creator can first deduct the costs incurred by the creator in this regard and in regard to maintenance of such patents from income accruing to the creator from the commercial exploitation of the patent in those countries. Excess income beyond such recovered costs will be shared with the College as per the prevailing norms of the College. Any MoU signed by the College with the sponsoring agency based on which the IP is generated, or with any patent filing organization, may supersede provision under this clause.
- 28.11.2 The creator(s) can start a new research project with the amount available to them from such revenue, i.e. the entire amount or a partial amount of the creators' share can be put into a new research project for further development on the patent topic or further research in a related area. On request by the creator(s), the College will contribute an equal share, but the maximum share of such contribution by the College will be limited to 50% of the revenue accruing to the College.

28.12 Exception in case of IP unrelated to Official Work

Creator(s) may apply to the College for permission to patent/license know-how to organizations by themselves, when such IP is not related to the official duties and roles of the creator in the College. Such IP will typically be in an area totally unrelated to the professional expertise of the creator for which the College has employed him/her. IPR Committee will examine the proposal and recommend whether or not the request by the creator(s) can be acceded to. If on the recommendations of the Committee the Principal permits the creator(s) to own/protect/license the IP independently, the creators will be the sole beneficiary of all earnings from such IP and no amount therefrom will be payable by the creator(s) to the College.

28.13 Copyright

- 28.13.1 All PhD/MTech/MBA/MCA/MS (By Research) theses are to be copyrighted with a copyright note: © New Horizon College of

Engineering, Bangalore (year). All rights reserved. The technical reports, review works, may also be copyrighted, if the author wishes to copyright.

- 28.13.2 The author of a report may also request to copyright on behalf of the College, any other material such as BE and MTech project reports.
- 28.13.3 While copyrighting the thesis it is the responsibility of the creator to ensure that the contents do not violate any copyright rules. If diagrams, tables and text are reproduced from any other copyrighted work, prior permission is to be obtained by the creators from the owner of the copy right document from where the material is taken.
- 28.13.4 If information from some other sources is included, appropriate acknowledgement has to be given to this source, as per copyright law.

28.14 Exceptions:

- 28.14.1 The ownership of the copyrights by the College in no way deprives the claims of the creators / authors to publish the contributions in scholarly and intellectual work, and their authority to improve, publish and propagate the work. When a journal that accepts a paper submitted by an employee/student requires copyright for the paper to be given to them before publishing the said paper, the employee/student may do so.
- 28.14.2 The College may waive ownership of copyrights it owns in favour of the author(s), contributor(s) on request.
- 28.14.3 Students and scholars may be allowed ownership of the copy rights to their works provided
- 28.14.4 they do not result from works for which they had received financial or supervisory support of any form from or through the College
- 28.14.5 the work does not include any material generated entirely or partially with the help of College facility or ongoing research programme or the intellectual input of any employee of the College.

28.15 Computer Software

- 28.15.1 A computer software may be patented, copyrighted or trademarked depending upon the IP Content. A Computer Software may be

distributed by its creator to researchers/teachers/students in other institutions for research and teaching purpose only after obtaining appropriate undertaking from the recipient to the effect it will not be used for commercial purpose nor will it be transferred to any other party without explicit permission of the creator/College. This transfer does not liberate the software from IPR protection. The creator may decide to put IPR protectable software on public domain in the spirit of dissemination of scientific knowledge or set standards or obtain scientific feedback from the users to advance the research. However, the creator is encouraged to protect IP of such software as per the usual procedure.

- 28.15.2 The legal and IPR restrictions by the suppliers of the software in the use of all software procured by the creators shall be clearly understood and adhered to.
- 28.15.3 College encourages incorporation of software without license restrictions in the research and development works undertaken by its employees/students since they do not restrict, constrain and impair the College's right to develop and distribute the R&D work.
- 28.15.4 Before copyright and patent for software ownership is sought for by creator(s) the terms and conditions are to be settled with the owners of the copyright to the original software platforms, based on which the new software may have been developed.

28.16 Publication Based on IP

- 28.16.1 Faculty members, scientific staff, research scholars disseminate their creative work through publications for which they generally have unrestricted freedom. Publications constitute only a part of the body of knowledge generated. The College policy is to encourage transfer and dissemination of knowledge in as complete a form as possible subjected to the following restrictions.
- 28.16.2 *In the case of publications based on externally sponsored work permission from the sponsoring agency may sometimes be contractually required. The College's agreement with the sponsor usually requires that this permission may not be normally denied except so far as to protect any tangible IP which may be of commercial value or of security interest to the sponsor, and the sponsor will act within a reasonable time to give the permission to publish.*

- 28.16.3 *All publications based on sponsored project shall also acknowledge the sponsor's support for the work reported in the publications.*
- 28.16.4 *All the contracted obligations have to be adhered to by the creators in the case of IP generated through sponsored work.*
- 28.16.5 In case of patentable IP, it IS desirable to obtain the patent protection at least in the form of a provisional application before such an IP is either published or exchanged so that both academic and commercial value of the IP is protected.
- 28.16.6 In order to protect the commercial value of an IP without affecting the exchange of information, a special confidentiality agreement may be signed between interacting parties before exchanging the information about any IP.

28.17 Agreements and Contracts

- 28.17.1 ***Agreement categories and authorized signatories***
- 28.17.2 All agreement including but not limited to the following categories, are to be approved by College:
 - 28.17.3 Confidentiality Agreement, Classified Information Nondisclosure (specific) Agreement, only to enable the College to ensure that the Agreement does not render the College liable in any manner for breach of the agreement.
 - 28.17.4 Since such agreements often need to be entered into quickly to enable progress in collaboration/ interaction, College will respond promptly if the Agreement is entirely between the external party and the employee or student, and the College is not directly or indirectly made liable by the Agreement in any manner.
 - 28.17.5 Revenue Sharing Agreement, Indemnity agreement.
 - 28.17.6 Evaluation Agreement, Consultation Agreement, Research and Development Agreement (R&DA/MoU)
 - 28.17.7 Technology Transfer Agreement, License Agreement, IP assignment agreement
 - 28.17.8 Alternative Dispute Resolution Agreement

28.17.9 Dean (R&D), as designated by the Principal, acts as the final signing authority in all the categories of agreements listed above, except confidentiality agreement which may be signed by the creator with the consent of Dean, (R&D).

28.18 Infringements, Damages, Liability and Indemnity Insurance

28.18.1 In any contract with the licensee, College shall obtain indemnity from legal proceedings against the College including its employees, without limitation, due to reasons including but not limited to manufacturing defects, production problems, design guarantee, upgradation and debugging obligation.

28.18.2 Generally College shall obtain, through appropriate agreement, indemnification from the organization to which IP is transferred, against any direct or third party legal liability arising out of commercial exploitation of IP.

28.18.3 Any computer software developed and distributed by the College either through public domain or commercially, shall have explicit disclaimer against any liability arising out of the use of software by any user.

28.18.4 College shall retain the right to engage in any litigation concerning patents and license infringements.

28.19 Conflict of Interest

28.19.1 The creator(s) are required to disclose any conflict of interest or potential conflict of interest. If the creator(s) and/or their immediate family members have a stake in a licensee or potential licensee company then they are required to disclose the stake they and/or their immediate family have in the company.

28.19.2 A license or an assignment of rights of any IP to a company in which the inventors have a stake shall be subject to the approval of the Dean (R&D) taking into consideration this fact.

28.20 Dispute Resolution

In case of any dispute with regard to IPR policy, the decision of the College shall be deemed final and binding.

28.21 Jurisdiction

As a policy, all agreements to be signed by the College will have the jurisdiction of the courts in Chennai and shall be governed by appropriate laws in India. Exceptions to this may be allowed in certain cases by the College.

28.22 Removal of Difficulties

Notwithstanding anything in the above policy/guidelines, the Principal/IPR Cell may take such measures/modify the guidelines as may be necessary in respect of protecting the interest of NHCE and smooth conduct of IPR activities/sponsored research projects. The NHCE reserves the right to change the guidelines from time to time and only the latest rules will be applicable to all the ongoing projects irrespective of the year of sanction of the project(s).

Chapter XXIX

DRESS CODE INSTITUTION POLICY

29.1 Our **dress code Institution policy** outlines how we expect our employees to dress at work. Employees should note that their appearance matters when representing our Institution in front of students, parents or other visitors. An employee's appearance can create a positive or negative impression that reflects on our company and culture.

29.2 These dress code rules always apply:

- 29.2.1 All employees must be clean and well-groomed.
- 29.2.2 All clothes must be work-appropriate. Clothes that are worn in workouts and outdoor activities aren't allowed.
- 29.2.3 All clothes must be professional. Clothes that are too revealing or inappropriate aren't allowed.
- 29.2.4 All clothes must be clean and in good shape. Discernible rips, tears or holes aren't allowed.
- 29.2.5 Employees must avoid clothes with stamps that are offensive or inappropriate.
- 29.2.6 Institution ID card must be worn at all times.

29.3 For male members :

- 29.3.1 Must wear formal attire and shoes.
- 29.3.2 Should be neatly shaved at all times.

29.4 For female members :

- 29.4.1 Formal western / Indian wear.
- 29.4.2 The saris must be formal and sober and suited to the working environment.

29.5 When an employee disregards the Institution's dress code, they may face severe consequences if they repeatedly violate the Institution's dress code. **The above policy is with immediate effect.**



Human Resources