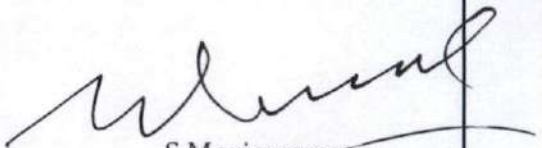


Administrative Manual

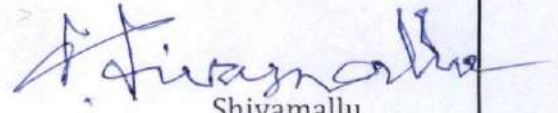
Dr. Ambedkar Institute of Technology

Declaration

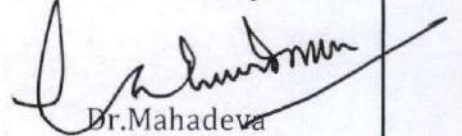
This Administrative Manual of Dr.Ambedkar Institute of Technology was considered and approved by the PVP Welfare Trust on July 16, 2024. It will come into force from January 1, 2025. It applies to all aspects of Administration of Unaided Employees. It also applies to non statutory aspects of the working of Aided Employees.




S.Mariswamy
Chairman



Shivamallu
Secretary



Dr.Mahadeva
Tresurer



A.R.Krishnamurthy
Trustee

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FOREWORD

Dr. Ambedkar Institute of Technology is in the 5th decade of its life. From small beginnings in 1980, it has grown into a mammoth institution with almost 5000 students and more than 500 faculty and staff. It offers graduate, post-graduate, and doctoral courses in Engineering and Management.

It is a Government aided institution. In the recent past, however, for various reasons, the government had not been able to maintain the flow of promised aid. As a result, most of the faculty and staff have come out of the aid-based framework. The few who remain within the aided format are going to retire in a few years and then the Dr AIT will fully be a private Institution responsible for earning its establishment, maintenance and other expenses becoming a competitive and vibrant Institution. This will be a challenge.

In these changed circumstances, it is no longer practical to follow the Karnataka Civil Service Rules (KCSR). A manual which recognizes the changed reality and the many challenges that have arisen in the recent past and covers all aspects of running an institution of technology is necessary. The effort here therefore is to give such a manual. This comprehensive manual is projected to reflect the organization's vision, mission, values, processes, and goals. It is hoped that the manual will fulfill the needs of a fast-growing and constantly changing Institution.

I take this opportunity to thank Sri S Shivamallu, Dr M Mahadeva, Sri A R Krishnamurthy, Trustees for graciously allowing me to take up this work and when the first copy was put before them, going through it meticulously and suggesting many modifications. I also thank Prof. L M Patnaik, Research professor and Dr.N.C.Shivaprakash, Mentor both of AIT for the many suggestions offered in improving this manual.

I have been assisted in this effort by Smt. Vijayalakshmi, Accounts Officer, Smt. Yashaswini H.M, Assistant Professor, both of AIT Dr. Shashidhar K.S, Associate Professor, Nitte Meenakshi Institute of Technology, and Santhosh Kumar, our Auditor. I take this opportunity to thank them. I have also been assisted by Smt.Deepika L and Smt.Lavanya R of Spoorthidhama in producing this manual. My Thanks are due to them.

15thAugust2024

S.Mariswamy
Chairman
PVP Welfare Trust
Bangalore

ABOUT THE INSTITUTION

Dr. Ambedkar Institute of Technology was founded by Sri. M.H. Jayaprakash Narayan along with a few of his friends in 1980. It is affiliated to Visvesvaraya Technological University (VTU) Belagavi and is recognized by the All India Council for Technical Education (AICTE). It is accredited by the National Board of Accreditation (NBA), and the National Assessment and Accreditation Council (NAAC) with "A+" Grade.

The institute offers graduate, postgraduate, and doctoral programs in the fields of Engineering and Management. In the year 2010, academic autonomy was granted to the Institution by the University Grants Commission (UGC). This has enabled the Institution to frame its curriculum, hold examinations and award degrees.

Dr. AIT is on the outer ring road near Janana Bharathi Campus, Mallathalli, Bengaluru. The campus is spread over 23 acres. It has modern infrastructure, classrooms, laboratories, seminar halls, a well-equipped library and hostels for boys and girls. Canara Bank has a branch on the campus catering to the needs of the staff and students.

The Institute has adopted Outcome-Based Education (OBE) and practical learning. The curriculum of every program is not only designed to meet the Program-Specific Objectives (PSO) but also to achieve inclusiveness through multidisciplinary courses and sustainable technologies.

Several Industry-based laboratories are set up and industry-prescribed electives are taught to build a strong bond between the institute and industries. Various research projects are funded by AICTE, DST, DRDO, VTU, and other funding agencies. A number of latest equipment pertaining to research have been procured to enhance research engagement.

The Institution has a total strength of 483 faculty and staff. Research and Development, Consultancy and Industry Institute Interaction are on the rise every passing year. In addition to this, association with Entrepreneurship Network has enabled the development of private enterprise in the students. Faculty Development Programs (FDP), Industry visits, Workshops, Seminars, Conferences, and other academic events are organized to promote the knowledge and skills of the faculty, staff, and students.

Scholarships are offered to many students of UG, PG and Ph.D degrees to encourage them to achieve academic excellence. The Institution has Memorandum of Understanding (MoU) with reputed Multi-National Companies and Universities for academic collaboration, training, internship and research. The Institution is supported by the World Bank through the TEQIP programs. Student participation in National, International events, Conferences, Sports, Cultural Activities, and Project presentations are also being encouraged.

VISION AND MISSION

Vision

"To create Dynamic,
Resourceful, Adept, and
Innovative Technical Professionals
to meet global challenges."

Mission

1. To offer state-of-the-art undergraduate, postgraduate, and doctoral programs in the fields of Engineering, Technology, and Management.
2. To provide a strong theoretical foundation to the students, supported by extensive practical training to meet the industrial requirements.
3. To generate new knowledge by engaging faculty and students in research, development, and innovation.
4. To instil moral and ethical values with social and professional commitment.

Board of Governors

The administration of the institution is overseen by the Board of Governors (BOG). The BOG approves the strategic plan, Vision, Mission, Short and Long-term goals, and the budget. Two students who have excelled in academics, co-curricular and extracurricular activities are also nominated to the BOG.

The composition of the Board of Governors (BoG) is as per UGC norms prescribed for Private Institutions. Educational qualifications and experience are taken into consideration while constituting the BoG. The member Secretary of the BoG is the Principal of the Institution and BOG consists of the Chairman who is also the Chairman of Panchajanya Vidya Peetha Welfare Trust (PVPWT). It also has representatives of VTU, GoK, AICTE, and UGC and members of the management of the College. This blend of academicians, policymakers, industrialists, and philanthropists helps in effective policymaking, utilization of funds, student as well as staff welfare and efficient Management.

Board of Governors 2024-2025

Sl. No	Name of the Member with designation	Category	Position in GB
01	Sri. S. Mariswamy	Management	Chairman
02	Sri. S. Shivamallu	Management	Member
03	Dr. M. Mahadeva	Management	Member
04	Sri. A. R. Krishnamurthy	Management	Member
05	Prof. Arun Kumar Agrawal	UGC Nominee	Member
06	Prof. Dileep N Malkhede	AICTE Nominee	Member
07	Sri. H. Prasanna	DTE Nominee	Member
08	Dr. S. B. Sangappa	VTU Nominee	Member
09	Sri. Shreekanth Sampigethaya	Industrialist	Member
10	Dr. D. N. Reddy	Educationist	Member

11	Dr. L. M. Patnaik	Educationist	Member
12	Dr. N. C. Shivaprakash	Educationist	Member
13	Dr. C.G. Krishnadas Nair	Educationist	Member
14	Dr. Girish Chandra	Industrialist	Member
15	Dr. Siddaraju	Vice Principal	Member
16	Dr. K. N. Anuradha	Dean Academics	Member
17	Dr. Mahalinga V Mandi	Dean examination	Member
18	Dr. B. Sivakumar	Dean P &D	Member
19	Dr. M. N. Thippeswamy	Principal	Member Secretary

SECTION 1: PRELIMINARIES

This manual is called the Administrative Manual of Dr. Ambedkar Institute of Technology (Dr.AIT) and shall come into force w.e.f 01/01/2025 after approval by the PVP Welfare Trust. It applies to all employees and activities of the non-aided sector of the Dr.AIT and activities of non-statutory nature of employees coming under the aided sector.

Definitions: - In this Administrative Manual unless the context otherwise means:

- **"Academic Authority"** means a college that is approved by the University to conduct academic programs.
- **"Academic Staff"** means a member of the staff engaged full-time or part-time in teaching or research in the College.
- **"AICTE"** means All India Council for Technical Education, established under the All-India Council for Technical Education Act, 1987.
- **"Appendix"** means Appendix to this Manual.
- **"Chairman"** means Chairman of PVP Welfare Trust (PVPWT) and the BOG.
- **"College/Institution"** Means Dr. Ambedkar Institute of Technology (Dr. AIT).
- **"Commission"** means University Grants Commission (UGC).
- **"Controlling Authority"** means the BoG for all the Academic, Technical, and Administrative Staff.
- **"Employee"** means any person employed to any post in the college and includes the academic staff.
- **"Enquiry Committee"** means the Committee constituted by the PVPWT to enquire into any matter.
- **"Governing Council"** means the Governing Body of Dr. AIT.
- **"Head of the Department"** means the Head of these Departments for any approved course or group of Programmes of study in Engineering, Management, and Basic Sciences.
- **"Permanent Employee"** means a person permanently employed in the Service of the College to any post, duly confirmed by PVPWT.
- **"Principal"** means Principal of Dr. AIT.
- **"Secretary"** means the Secretary/Managing Trustee of the PVPWT.
- **"Temporary Employee"** means a person who is in the service of the college purely temporarily on prescribed terms and conditions.

- "Treasurer" means the Treasurer of the PVPWT.
- "Trust" means PVPWT.
- "University" means Visvesvaraya Technological University, Belgaum established under section 3 of the UGC Act.

Note: All other terms and expressions that have not been defined shall have the same meaning as in the bylaws of the Trust.

Maintenance of Important Books, Journals, Orders, etc.: -

The Institution shall maintain the following Books, Texts, Orders, Journals, and Enactments for reference.

1. Karnataka Civil Service (General Recruitment) Rules, 1977.
2. Karnataka Civil Service (Probation) Rules, 1977
3. Karnataka Civil Service (CCA) Rules, 1957.
4. Karnataka Civil Service (Conduct) Rules, 1966.
5. Karnataka Government servants (seniority) Rules, 1957.
6. All India Council for Technical Education Act, 1987 and Regulations made there under.
7. Cadre & Recruitment Rules for Government Engineering Colleges, and Polytechnics, of the Department of Technical Education & State Government Pay Scale policies.
8. Visvesvaraya Technological University (VTU) Service Rules for the employees.
9. Karnataka Education Act 1983 and Rules enacted there under.
10. Visvesvaraya Technological University Act, 1994, and Statutes, Rules, Regulations, and Ordinances framed there under.
11. Notifications, Circulars, Orders, etc. of the VTU.
12. Karnataka Civil Services (Performance Reports) Rules, 2000.
13. UGC Act 1956 and Rules & Regulations made there under.
14. The Employee's Provident Fund & Miscellaneous Provisions Act, 1952.
15. Karnataka State Universities Act, 2000.
16. Karnataka Societies Registration Act, 1960, and Indian Trusts Act.
17. Dictionaries (Big, Small & Pocket size).
 - a. English - English.
 - b. English-Kannada.

- c. Kannada English.
- d. Kannada-Kannada.
- 18. CET Information Brochures and Procedures.
- 19. Examination Regulations, Rules and Manual of VTU.
- 20. Kacheri, Kaipidi.
- 21. Kannada Office Terminologies.

Note: All the above laws, rules, regulations, orders, etc., for the time being in force, may be amended from time to time.

SECTION 2: HUMAN RESOURCES MANAGEMENT POLICY

Human Resource is at the heart of an organization and forms the lifeline and determines its destiny. The realization of the mission of the organization rests on the commitment of the personnel engaged in various assignments and tasks. Motivated and well-trained human resource is necessary to fulfill the goals and objectives of the organization. Dr.AIT is committed to setting high standards of personnel management with due place for efficiency and transparency. The management of the team of people who are called upon to assist in the implementation of the programmes and projects demands comprehensive Human Resource Management policies and procedures that provide a healthy environment for work.

2.1 Objective

The objective of this Manual is to lay down policies and procedures that will govern the management of personnel involved at different levels for the furtherance of the objectives of Dr.AIT. These policies and procedures extend from the recruitment of different categories of staff, defining their roles and responsibilities, providing training, and positioning them to execute the job they have been recruited for, in compliance with the values of the organization. This Manual also defines the terms of employment and conditions of service of employees engaged by Dr.AIT for different assignments at Dr.AIT and services of any other sort. The Manual covers provisions for improving the performance and effectiveness of the organization by maximizing the efficiency of the staff through enhancing their knowledge, skills, and attitude with provisions for appropriate compensation, incentives, and comfortable working conditions.

It is also the objective of this Manual to clearly outline the process of Human Resource Management, make the entire process transparent and minimize subjectivity in the process of handling any aspect of Human Resource Management.

The Manual is meant to institutionalize an organizational culture that respects basic human values and practices that promote team spirit, shared responsibility, and participatory functioning.

This Manual though cannot be exhaustive in covering every detail pertinent to Human Resource Management, should be able to create a congenial atmosphere for the staff to go on a journey with the organization and to respond to emerging needs of the organization.

Dr.AIT reserves the right to interpret the meaning of the Rules pertaining to the service conditions of its employees and the Supplementary Rules that may be issued here in at any point in time by the legitimate authority.

2.2 VALUES THAT GUIDE THE HR POLICY OF Dr.AIT

2.2.1 Foundational beliefs:

The Human Resources policy of Dr.AIT is founded on the belief in the inherent dignity and primacy of the Human person and the right of the individual to equal access to the full blossoming of his potential ensuring equal status for men and women in a society based on equity and non-discrimination. We believe in the preferential option for the poor and marginalized and to join hands with all human beings and institutions of goodwill to make our world a better place to live in.

2.2.2 Promotion of Partnership

Dr.AIT prefers partnership and fraternity as regards the relationship between management and staff. In furtherance of the above, we strive for inclusive, appropriate, and responsible participation of staff in the planning and decision-making process through close and cooperative teamwork as well as clear and honest communication of information within the agency. In the spirit of partnership, Dr.AIT will provide sufficient space for its staff for the upgradation and improvement of capabilities and inherent talents.

Dr.AIT believes that it is strengthened in its promotion of justice and peace by working in partnerships with those who share similar vision and principles. For this reason, those institutions and organizations that share the vision, mission, and commonality of purpose are natural allies and partners of preference of Dr.AIT.

2.2.3 Dignity of the Human Being

- a. The inherent dignity of the human person is the cornerstone of this Administrative Manual which would promote the dignity of individuals in workplaces and in dealing with partners, stakeholders, and the society at large.
- b. Dr.AIT should emerge as a top-notch learning organization wherein the staff becomes relevant and adapts to the changing times and becomes effective and efficient. In furtherance of the above, a carefully worked out package of Capacity Building shall be put in place.

2.2.4 Equity - Equal Opportunity Policy

Dr.AIT is committed to providing equal opportunities to all without regard to race, religion, color, caste, gender, nationality, or disability in recruitment, training, promotion, compensation, benefits, transfers, and employee movement within the organization. In adherence to the above, Dr.AIT shall

- Provide equal opportunity to all irrespective of the strata of the society they belong to.
- Provide equal opportunity to different genders everything remaining equal from the point of view of the requirement of the job.
- Provide preference to persons from the weaker and marginalized sections of society.
- Provide special encouragement to qualified women for careers atDr.AIT.

2.2.5 Justice

The organization is committed to justice and human rights and hence in its workplace the organization will remain committed to upholding human rights.

2.2.6 Transparency and Accountability

Transparency, mutual accountability, openness, loyalty, and honesty are fundamental values and preconditions for the mutual growth of the organization and the individuals.

- a. Every person is accountable for his or her actions.
- b. Transparency in all decision-making processes, utilization of resources, assessing performances, and communication.
- c. Sharing the concerns and apprehensions of all individuals who work for the organization in a spirit of trust and mutual respect.
- d. Team spirit is fundamental to the organisation's culture wherein work becomes a process of learning and progressing together. Each person is considered a unique contributor and is valued and respected.

2.2.7 Professionalism

Dr.AIT is committed to adopting such measures that will ensure accepted standards in its Human Resource Management. The Organization will design procedures for all avenues of staff management including recruitment and performance assessment that will match with modern management indicators.

2.2.8 Legal Compliance

Dr.AIT is committed to complying with all statutory requirements in force concerning staff management and welfare.

SECTION 3: RECRUITMENT, INDUCTION AND TRANSFER

3.1 Planning for Human Resources

Dr.AIT believes in professional excellence and consequently in employing competent persons for its programmatic and administrative functions. The organization should plan the staff requirements sufficiently in advance, taking into consideration retirements and new openings. The human resource estimation and the profile of personnel required will be important for the estimation of the types of human resources required and their skill requirement. The assessment of the existing resources against the resources required will provide the net addition that needs to be made in the coming years. It also needs to consider the attrition rate of its employees annually based on the turnaround of the personnel in the last five years. Retirement of personnel after reaching the age of superannuation is an inevitable process and the vacancies arising out of this also need to be planned for and integrated with the plan.

3.2 Classification of Human Resources

Dr.AIT recognizes the following classification of its staff.

- a. **Regular Employee:** One who holds a permanent post in the organization and whose appointment has been confirmed in writing by the appointing authority. The regular Employees are divided into:
 - i. **Teaching Staff:** Professors, Associate Professors, Asst. Professors.
 - ii. **Technical Support Staff:** Systems Administrator, Computer Programmer, Workshop Superintendent, Instructors, Lab Assistants and Lab Attendants.
 - iii. **Administrative Staff:** Administrator, Manager Human Resources and student affairs; Manager Accounts & Procurement; Manager Estates & Facilities; Manager Public Relations & events; superintendants and assistants.
- b. **Temporary Employee:** One who is appointed either to fill a regular position, which is temporarily vacant or for work that is essentially of a temporary nature and likely to be completed within a limited period. Temporary employees are not eligible for any benefits other than the agreed wages unless expressly stated otherwise.

- c. **Contract Employee:** One who is employed due to his/her experience and expertise on a contract for a specified period, or for specified work on a specified project/ program not exceeding two years, on the completion of which the contract shall stand terminated. The contract can be renewed for a mutually agreed-upon period based on performance evaluation and review and the needs of Dr.AIT. The Contract employee is governed by the terms and conditions offered to him/her at the time of appointment.
- d. **Part-time Employee:** One appointed to work for specified hours in a day or a week, which is less than the normal hours of work of the organization. The benefits of the Part-time employees shall be governed by the terms of their employment.
- e. **Special Category Staff:** Staff recruited for specific posts like Administrator, Manager, etc., or any other special category posts by arrangement with the Trust.
- f. **Consultant:** One who is hired for a specific task that requires professional competence and specialization. They are hired when the organization requires external assistance/guidance - such as evaluation, training, etc. A pool of such consultants is to be prepared and kept in advance and updated periodically. Appointment of such consultants would follow the process laid down.
- g. **Volunteer:** Persons registering for voluntary assistance for specific programmes of the organization.

3.3 Levels of Hierarchy

Dr.AIT respects decentralization in administration and the principle of the subsidiary as core values. With the above values in mind, it has put in place a hierarchy for staff which shall determine the levels of authority within the organization with earmarked command/supervision which will enable easy tracking/monitoring.

3.4 Appointing Authority

[PVPWT shall be the appointing authority in respect of all teaching and administrative posts. It is to be assisted by a selection committee of three experts appropriate to each selection.

However, the Principal/Administrator is the appointing authority for all clerical and below cadres. They will be assisted by a selection committee of three experts drawn from the institution.]

3.5 Recruitment Policy & Process

3.5.1 Objective

To have in place competent staff selected on the principles of equal opportunities with due representation to all sections of people and without discrimination based on caste, creed, sex, race, or disability. All recruitment will be based on predetermined criteria and suitability for the post.

3.5.2 Scope of the Policy

This policy covers all appointments to the organization. This also covers appointments for the project-related positions both in the headquarters, regional offices and field. The consultants hired for evaluation, training, etc. are also covered by the terms and conditions of the Memorandum of Understanding (MoU) duly entered under this policy manual.

3.5.3 Job Analysis, Job Description, and Terms of Reference

Staff Requirement: All positions in the organization shall be based on the need assessment and work analysis. The Principal together with HoDs of the department and the administrator will determine the need to open a new position or to close an existing position.

Each job and position needs to be analyzed in terms of job content and broken down into knowledge and skill requirements. The job/position analysis carried out will form the basis for the HR department to document the skill and knowledge profile of each position. The number of persons required for each position will be assessed from the HR requirement plan.

Each position will require a position description and position profile to be able to recruit the people with the right skills and qualifications for carrying out the job expected out of that position.

"Terms of Reference" (ToR) should be defined for all the posts in the organization as per approved standards. The ToR contains the job description, required educational qualification and experience, defined

operational structure, and other matters relating to the employment for each post in the organization. For all positions in Dr.AIT, job descriptions are prepared and shared with the concerned staff at the time of recruitment and at the time of employee orientation. A copy of the job description shall be kept in the personnel files of the employees.

When a new position is created, it is the responsibility of the HR Manager to prepare a job description unless it is like an existing post. Job descriptions would have to be reviewed periodically to meet the standard content.

3.5.4 General Criteria Governing Recruitment

For any post other than Asst. Professors, Associate Professors, and Professors, the person recruited should not be above 35 years as per University Grants Commission (UGC). The age requirement may be waived in the case of Contract Employees.

The minimum age for recruitment is 18 years.

- Dr.AIT reserves the right to do a background check on any person selected for employment
- Persons selected for appointment should possess sound mental and physical health.

3.5.5 Internal Appointments

To avoid stagnation of competent employees and encourage career growth, management should develop mechanisms for creating avenues for growth/promotion.

When a vacancy arises, internal appointments may be resorted to as far as possible. The principal may assess the situation objectively based on the need for fresh requirements and actual staff positions. In the event of the principal opting for an internal appointment, the vacant position or a new position is advertised within the organization specifying clear eligibility criteria. Every eligible employee from among the staff can apply for the position. The short-listing for interviews would be made as per the profile and requirements of the job.

Any interested candidate should forward his/her application for the same in the prescribed form to the appointing authority.

The Department in Charge will assess the candidate with special reference to the requirements of the job applied for and keeping in mind the performance of the candidate over the previous two years.

Procedures for Performance Assessment, as detailed in this Administrative Manual, should be complied with.

3.5.6 Advertisement

The HR Manager will be responsible for initiating action such as advertising for the vacancy, enlisting Recruitment Consultants, and use of a panel of past short-listed candidates as may be appropriate after acquiring requisite approvals.

For regular and contract posts, it is mandatory to advertise the vacancies in the newspaper and on Dr.AIT's website (www.drait.edu.in).

For temporary, project-related staff it is not mandatory to follow the advertising procedures. However, Dr.AIT's website should contain such advertisements.

- There should be a minimum of 10 days between the date of publication of the advertisement and the interview.
- Due to the critical nature of some posts, application time for all positions, in general, may be shortened to accommodate immediate closure of position and such application time may be different for different positions. This shall be determined by the Administrator.

3.5.7 Short listing

- All applications are scrutinized by a committee to ensure that they conform to the minimum requirements of the position.
- Persons given as references in the application may be contacted to further refine the shortlist.
- For a single post, from the suitable applications received, an appropriate number will be called for the interview.
- Intimation for an interview is sent thereafter.

3.5.8 Assessment process

The assessment process for Teaching staff and administrative staff shall have all or any of the following:

- Written test
- Skill Test
- Interview

3.5.9 The Assessment and Interview Panel

The interview panel must meet in advance to prepare and agree to the questions, tests, etc. to be asked of candidates and to ensure that similar questions and the same range of topics will be covered for each candidate for the same position.

For the test and interview - an appropriate panel must be constituted which should have subject specialists. The final interview panel will comprise the appointing authority and subject specialists.

3.5.10 The Interview Rating Form

The Interviewer's rating form is aimed to achieve two things

- a. To map the process through which the candidate passes.
- b. To create a comprehensive document, with all the interviewers' ratings along with the comments substantiating the ratings thereof.

This format is very crucial and needs to be filled in immediately after the interview. The interview panel then gives its recommendations in the prescribed form.

3.5.11 Proceedings of Interview

Detailed proceedings of the interview will be recorded by the Chairperson of the Interview Board and will be attested by the Interview Board Members.

3.5.12 Checking of References

The HR Manager shall check with the referees given/ obtained from the candidate. As a policy, Dr.AIT will contact the current employer as a part of the reference check.

3.5.13 The Offer Letter

Upon finding the references to be satisfactory, the Offer Letter is sent to the selected candidate. Candidates should confirm their acceptance in writing. A regret letter might be sent to candidates not found suitable during the interview.

3.5.14 Medical Fitness

After issuance of the offer letter, selected candidates have to undergo a pre-employment medical examination at their own cost according to the prescribed medical standards by the organization.

3.5.15 Letter of Appointment

The selected candidate must bring the relieving order from the previous organization before joining duty.

An appointment letter duly signed by the Appointing Authority is issued to the candidate subject to the reference checks and pre-employment medical examination.

The Appointment letter should contain:

- The designation/ title of the job and responsibilities specific to the job and any other relevant information.
- The letter of Appointment and Job Description (JD) should be signed by the employee as a sign of acceptance.

3.5.16 Joining Report

On joining, the candidate should give the joining report duly filled and signed before the HR Manager. If the candidate joins at the Branch or Field Office, the joining report should be accepted and countersigned by the person in charge and forwarded to the Main Office.

3.6 Redeployment/Transfer

Dr.AIT enjoys the option of redeploying any member of the staff to a fresh vacancy or transferring staff from one department to another. All employees may be transferred depending on the needs and priorities of the organization.

Transfers may be affected in any of the following manner:

- From one department to another department within an office.
- From one post/office to another post/office.

3.7 Consultants

Consultants are hired in a competitive and need-based manner as and when required in accordance with the standard process of procurement of services. Dr.AIT will maintain a resource list of consultants in various fields as consultant Bank the list will be updated periodically. The following shall be kept in mind in managing Consultants.

- The selected consultants shall be provided with a Scope of Work (SoW).
- The Requisition for Hiring Consultant, SoW, and Consultant's CV should all be available on record. The Requisition for hiring consultants should contain the rate, dates of consultancy, and expenses to be incurred by Dr.AIT.
- A Memorandum of Understanding should be entered into between the Administrator, Dr.AIT, and the hired consultant specifying terms of work and payment details.
- If consultants are asked to undertake any tours as part of the consultancy arrangement, then they will follow the same rules for travel, lodging and per Diem as applicable to Dr.AIT employees unless otherwise specified in the MoU.
- Consultants are entitled to only dues that are stated in their respective contracts with Dr.AIT.
- Consultants may not supervise Dr.AIT employees nor is their day-to-day work supervised by employees of Dr.AIT.
- Consultants should not do work that is normally done by employees. The consultant's scope of work must be distinct from activities in the employee job descriptions.

3.8 Probation and Confirmation

1. All new staff will initially be on probation for a period of 12 months.
2. The HR Manager in consultation with the concerned HOD will conduct a monthly review of the work plan, which will duly be shared with the probationer. At the end of the probation period and based on a final report

by the HR Manager, the Principal will decide on the confirmation or termination of the probationer.

3. In exceptional circumstances, the probation may be extended for a further period depending upon the indications of likely improvement of the staff member. If, however, after this period the staff member's performance is still not considered satisfactory, then his/her employment will stand terminated. A notice given to the staff member shall outline the reason for non-confirmation, and/or extension of the probation period.
4. The principal enjoys the right to waive the Probation period in the case of experienced staff chartered by the organization. The expertise/experience/competence of the staff will be the reasons for waiving the probation. The reason for waiving probation should be recorded.
5. Notwithstanding the above, the management reserves the right to terminate an employee at any time during the probation period with due discretion.

3.9 Personal File

A personal file shall be opened for all employees. The personal file shall contain the following:

1. Offer Letter
2. Application of the candidate
3. Bio-data
4. Certificates of birth, education, and medical fitness
5. Written comments of references if any
6. Appointment letter / Contract letter
7. Joining Report
8. Job Description, Performance & Development Plan
9. Personal details of employee like permanent/ current address/blood group
10. Relieving letter or experience certificate from the previous employer or last employer
11. Letters of annual salary revisions & copies of performance appraisal
12. Two photographs
13. Memos issued, reply to above, reports of inquiry committees/ suspension order/termination or disciplinary action, etc.

14. Any other personal memos
15. Resignation/Contract termination letter
16. No Claim Certificate
17. Any other information deemed appropriate by Dr.AIT
18. The HR Manager will maintain the personnel files of all employees. The employees would have to inform the HR Manager in writing when there are changes regarding marital status or contact address

3.10 Training and Development of Staff

3.10.1 Induction

All new employees shall upon completion of the formalities undergo an induction program, intended to familiarize them with the dynamics of the organization. The methodology would be that of guided interaction with the various departments in the administration.

The HR Manager will co-ordinate the Induction Process. In recognition of their experience and expertise, senior staff members would often be asked to participate as facilitators in the Induction Program, on need basis.

The induction process may be phased over a few days so as not to disrupt the daily work of staff and those conducting the Induction Program.

A package of training modules will be developed and put in place for the induction process. The following are to find a place in the package.

1. The Vision, Mission and Guiding Principles of Dr.AIT
2. Access for the new employee to read the policy documents such as Administrative Manual, HR Manual, Handbook, Gender / Emergency / Environment Policies etc.
4. The Trust's Perspective Plan in force
5. Key office norms and policies, systems, manual of procedures etc.
6. Review of job description
7. Orientation on Performance Management System
8. Clarification on reporting relationships with respect to supervisors and peers

3.10.2 Process of Ongoing Capacity Building for Staff

A Capacity Building Analysis needed to be conducted internally by the Internal Quality Assurance Cell (IQAC) at the beginning of the academic year if need be with the help of external experts specifically looking into the job requirements of each individual and the scope of the job in the future. Coaching is intended to provide encouragement, guidance, and correction and to identify strengths, weaknesses, and learning/ training/career interests which will help the staff, not only to improve their performance but also to identify problem areas inhibiting the achievement of the set objectives and behaviors and to provide an opportunity to adjust the approved action plan.

3.10.3 Capacity Building Plan

1. Faculty Development Programme-FDP: This training is conducted within the Institute with the help of external resource persons or agencies for a larger group of personnel. These will be planned from time to time depending on the requirement. Based on need analysis, a yearly plan of action will be prepared, approved, and strictly followed

2. Faculty Improvement Programme-FIP: This is a training programme where the faculty and other staff are sponsored by the organization to attend programs provided by external organizations. The same process of need analysis as well as inputs from the performance appraisal will be followed in selecting the beneficiaries.

3.10.4 Capacity Building Budget

A Capacity Building budget is developed based on the Capacity Building Plan and is intended to predict and control all external training expenditures. The Administrator or those entrusted with the task will be responsible for the same.

3.10.5 Post-Course Report

All employees upon attending any program will make a written report and supplement the same with a presentation to the rest of the colleagues in the office. This will be considered as an important part of all training. The intent here is to comprehend and multiply newly acquired skills and archive the

same for use as training modules for the organization. Those attending the program, especially outside programs will ensure that the resource materials procured as part of the training are made available to the documentation section to turn it into an organizational asset. Individual staff members accessing the training conducted by external agencies shall share their experience with the Staff of Dr.AIT during the monthly staff meetings.

3.10.6 Sponsorship for External Courses

For the development of staff employed with Dr.AIT, the organization may consider sponsorship of staff members to such recognized external courses in institutes/universities of repute for specific training. The programme sponsored should be relevant to the assignments being carried out by Dr.AIT and undergoing the same should enhance the contribution of the staff member to the organization.

3.11 Identity Card

All Dr.AIT employees are required to have photo ID cards which they should carry with them to their respective workplaces and during travel. HR Manager will issue these cards to new staff within 15 days of their joining the organization. At the time of cessation of service, employees are required to return their Identity Card to the organization which should be destroyed by HR Manager immediately. A register for issuing ID cards should also be maintained.

3.12 Seniority

The Seniority in a particular cadre or service shall be determined as follows:

- All the employees who are confirmed shall be senior to all others not confirmed in that cadre.
- The seniority of persons who are confirmed shall be according to the dates of confirmation and where the date of confirmation of any two or more employees is the same, relative seniority shall be determined based on their age seniority. The one who is older in age shall be treated as a senior.
- When persons are recruited to a class of posts both by internal promotion and direct recruitment the internally promoted candidate shall rank higher than those recruited from external candidates.

- When promotions are made based on seniority cum merit at the same time, the relative seniority shall be determined by their seniority in the lower cadre.
- When promotion to a class of posts or cadre is made by selection at the same time, the seniority shall be in the order in which the names of candidates are arranged in the order of merit.
- Seniority of direct recruitment candidates shall be determined as follows:
 - i. When recruitment is made through the process of a written test or interview, the seniority shall be in the order of the position on the merit list.
 - ii. If the appointments are made without a written test and/or interview the date of joining the service shall be the date for reckoning seniority.

3.13 Resignation

When an employee tenders his/her resignation to the post held by him/her, the resignation may be accepted by the appointing authority if it aligns with the terms and conditions specifically laid down in the appointment letter. In this regard, the following points shall be verified before accepting the resignation.

- a. Whether the resignation is not in the middle of the academic session prescribed by the Institution.
- b. Whether the 3 months/90 days' notice period or salary equivalent has been given/paid.
- c. If the resignation is before the completion of three years of service, it should also be seen whether the employee has been paid salary for the vacation period and if so, such salary drawn for the immediately preceding vacation period should also be recovered.
- d. Whether no dues certificate has been obtained from different departments/sections of the Institution.
- e. If the conditions of a. to d. are fulfilled, the Head of the Department shall forward the resignation letter to the Principal with his remarks for orders/acceptance.
- f. The principal has the right to reject the resignation in case the resignation is received in the middle of the academic session, in the interest of the students.
- g. After receiving the orders/acceptance from the principal, the same shall be communicated to the employee by the Head of the Department concerned.

- h. The appointing authority shall be the Competent Authority to accept the resignation of all employees.

3.14 Service Certificate

Every permanent employee shall be entitled to a service certificate at the time of leaving the service of the college, issued and signed by the Head of the institution/college.

3.15 Termination / Removal from Service:

1. The Trust may terminate the services of a Temporary/Ad hoc employee at any time.
2. The Trust may terminate the services of an employee appointed under contract or agreement on the termination of the contract or agreement by efflux of time or otherwise.
3. The Trust may terminate the services of an employee under special circumstances, such as reduced workload, after giving three months' notice or pay in lieu thereof. No such notice shall be necessary if the termination is a result of proven misconduct in an inquiry conducted under the rules and a show-cause notice to this effect.
4. After giving three months' notice or pay in lieu thereof, if the employee is found to be unfit to continue in service on medical grounds or other reasons to the satisfaction of the Trust, the Trust may terminate the employee. In case of medical unfitness, the opinion of the medical board as decided by the Trust shall be obtained.

3.16 Superannuation/Extension of Service

All employees shall retire upon attaining the age of 60 years. The Trust may at its discretion grant an extension of service of one year or more beyond the age of superannuation at a time, on the merit of each case, subject to the condition that the extension of service so granted shall not exceed 5 years in anycase.

3.17 Miscellaneous Provisions

- When an employee is transferred from one institution to another under the same Management, he/she should join the institution to which he/she is sent immediately. If he/she is relieved in the morning, he/she must join

in the afternoon. Similarly, if he/she is relieved in the afternoon he/she must join in the forenoon of the following working day if it is in the same station.

- An employee who does not join his/her post within the prescribed time is not entitled to salary till the date of joining the new institution. The period between the date of reliving and the date of joining if it exceeds a day shall be treated as absence. Absence from duty after the expiry of joining time will render the employee liable to disciplinary action for misconduct, besides causing a break in the service, except where the employee establishes to the satisfaction of the Trust, that he/she was unable to join duty for reasons beyond his/her control.

**SECTION 4:
SALARY/ALLOWANCES/RECOGNITION/WELFARE MEASURES/TERMINAL
BENEFITS**

4.1 Salary

4.1.1 Basic Pay

- a. Dr.AIT shall pay adequate wages to its employees. All things being equal the salary promised in the appointment letter or Memorandum of Understanding shall be paid to all employees with due periodic revision of salary for regular staff based on performance assessment. The revision of pay for contract staff shall be contiguous with the revision of the contract and performance assessment.
- b. Total Monthly salary shall be directly deposited into the employee's bank account or paid by cheque on the 1st day of the following month.
- c. Payments of Monthly Salary shall be made after deductions under statutory provisions, such as Provident Fund, Income Tax, Professional Tax, ESI, and other deductions as required by law from time to time, and deductions for loan repayment or other dues.
- d. Temporary employees shall receive their monthly remuneration as per the terms and conditions of their appointment. The payday of temporary employees shall be the same as that of permanent employees or after completion of the period of temporary employment, whichever is earlier.
- e. Part-time employees shall be paid a consolidated monthly remuneration. The terms and conditions of their remuneration shall be decided separately in each case. Their payday and leave will be governed by the terms of their contract.

4.1.2 Pay Scale Fixation

- a. **Faculty:** The management shall respect the practice of Grades and varying Scales for regular staff on service except for those who are employed after retirement elsewhere or those who are appointed on Consolidated Salary for specific reasons. As a matter of principle, the

faculty with prescribed qualifications is governed by the AICTE/UGC Scales and Academic Grade Pay. The Dearness Allowance and HRA are fixed periodically by the Management as per the policy adopted by it.

- b. **Non-Teaching Staff:** Different Scales of Pay are sanctioned for the Non-Teaching Staff considering their qualification and Grade-based Trust Pay Scales. Dearness Allowance and HRA are also granted to them on the same principle adopted in the case of Faculty.
- c. **Re-employment of Retired Persons:** Retired persons are appointed on consolidated salary based on their Qualification, Experience, and Grade to which they are appointed. The Secretary shall issue an order indicating the Salary Structure and the same will be published for the intimation of the staff concerned.
- d. **Management Personnel:** The Salary of the Management Personnel appointed for the administration of the college shall be fixed by the Trust.

4.2 Increment policy

In an effort, to recognize and reward the performance of employees, it is the organization's philosophy that the principal component to enhance compensation shall be through annual increments based on performance evaluations.

- a. All regular employees are eligible for yearly increments based on the results of their Performance Appraisal conducted annually.
- b. All employees will be informed in writing about their annual increment after the Performance Appraisal.

4.3 Pay & Allowances

4.3.1 Charge Allowance

When an employee is assigned additional duties in addition to his/her duties and the charge entails a substantial increase in responsibility he/she is entitled to charge allowance. The charge allowance shall

generally not exceed one-tenth of the minimum of the pay of the post of which the employee is placed in an additional charge.

- No charge allowance is admissible unless the incumbent is given/taken over the charge of the office under the orders of the Head of the Institution.
- The minimum period required for claiming charge allowance under this rule shall be one month.
- Charge allowance in respect of only one additional post is admissible even though the employee is placed in an additional charge of the duties of more than one post concurrently. In such a case, the charge allowance is admissible at the rate of a tenth of the minimum pay of the post carrying the highest scale.
- However, a higher charge allowance can be approved by the Trust as and when the additional responsibilities taken over by the employee are of a serious nature.

4.3.2 Fixation of Pay:

- When an employee is promoted or appointed to a post and any such promotion or appointment involves the assumption of duties involving higher responsibilities than those of the post held by him/her, initial pay in the time scale of the post shall be fixed at the stage in the higher post next above the pay in the time scale of the lower post at the time of such fixation.

4.3.3 The conditions under which service counts for increments in a time scale.

All duty in a post on a time scale count for increment in that scale as follows.

- All leave except extraordinary leave (leave without pay & Allowance) counts for increment in the time scale applicable to a post in which an employee was officiating at the time of proceeding on leave.
- Extraordinary leave on medical grounds duly supported by a medical certificate shall count for increment.
- The period spent on probation shall count for increment.

- Period spent while on suspension does not count towards the increments if the period of suspension is treated as suspension.

4.3.4 Period of unauthorized absence not regularized but treated as such shall not count for increment in the time scale.

4.3.5 If the pay of an employee is reduced as a measure of penalty to a lower stage in his/her pay scale, the authority ordering such reduction shall state the period for which it shall be effective and whether on restoration it shall operate to postpone future increments and if so to what extent.

4.4 Provident Fund and ESI

Statutory provisions of Employees Provident Fund Deduction will be made from the salary of employees and will be deposited to the designated provident fund accounts along with the contribution of the organization as per the provisions of the said Act. Employees must comply with the statutory requirements like nomination and can avail of such ensuing benefits as prescribed by the act.

Employees drawing gross salary below Rs. 21,000/- are mandated to make use of the ESI facility through the deduction of 0.75% from the employee salary and 3.25% from the employer, altogether 4% of gross salary. This will help them to come under the health facility provided by the Government through ESI.

4.5 Incentive to Research, Development & Academic Achievements

Financial Assistance Policy for Publication & Faculty Development

Programme

The details are in the research compendium

4.6 Incentive for Consultancy Projects

The fees/charges collected will be distributed as per the following rates.

1. For Theory Based Projects:

Institution	-	50%
Staff member concerned	-	50%

2. For Projects using lab & staff:

Institution	-	40%
Staff member concerned	-	30%
Technical Staff	-	15%
HOD	-	4%
Office Staff	-	8%
Principal	-	3%

SECTION 5: LEAVE POLICIES

Dr.AIT provides different kinds of leave to meet various requirements of its employees. Availing of leave should be with proper notice so that the organization's work does not suffer. Leave shall not be claimed as a right. Leave sanctioning authorities must use their discretion in sanctioning the leave so that the effect is minimal on the normal functioning of the college.

The following types of leaves are available for staff:

5.1 General

1. Any leave may generally be availed only after prior sanction from the competent authority. Leave once granted may be revoked under exigencies of work. Where an employee is compelled to avail leave suddenly on account of sickness or unforeseen circumstances such absence must be intimated by the employee within 24 hours followed by submission of a formal leave application.
2. No employee who has submitted his letter of resignation will be permitted to avail himself of any leave left in his credit.
3. An employee may cancel the whole or part of the leave applied for and resume duty only after prior permission to do so is obtained from the competent authority.
4. No leave or extension of leave shall be deemed to have been granted unless an order to that effect is passed and communicated to the employee concerned.
5. An employee proceeding out of town on leave shall intimate his leave address for correspondence, if any, to enable the competent authority to communicate with him/her in case of need.

5.2 Casual Leave (CL)

- a. All permanent employees are eligible for 10 days of casual leave (CL) with full pay in each calendar year and casual leave is credited to the account of the employee on the 1st of January every year.

- b. CL can be availed for half a day either in the morning session or in the afternoon session on any working day. CL may be either prefixed or suffixed but the intervening Sundays and other holidays shall not be treated as CL.
- c. Leave without allowance (LWA) shall not be granted in continuation of CL. In cases where leave without allowance is granted in continuation of CL, CL already granted if any shall be canceled. Leave without allowance shall only be granted after all other leaves are exhausted.

5.3 Earned Leave (EL)

- a. Employees working in the non-vacation category shall be eligible for 30 days EL in a calendar year and it will be credited only after the completion of one year. The following employees are considered non-vacation staff
 - i. Principal
 - ii. Vice-Principal
 - iii. Deans
 - iv. Heads of Departments
 - v. Non-Teaching Staff [Technical & Administrative]
 - vi. Library Staff
 - vii. Placement & Training officer and Staff
- b. The employees other than those mentioned in 5.3.a. are considered vacation staff. They are eligible for 10 days of earned leave in a calendar year, in addition to their permitted vacation.
- c. The minimum and maximum days of EL that may be availed at a stretch are 03 days and 30 days respectively with the prior sanction of the sanctioning authority.
- d. Earned leave can be accumulated for up to 180 days.
- e. If during the earned leave period, there are general holidays, then those holidays are also counted as leave.
- f. The leave account of every employee shall be credited with EL on the 1st of January of every year.
- g. If a vacation-enjoying employee refrained from availing the vacation because of exigencies of service, such an employee is eligible to get one day EL for every 5 days of working during the vacation period.

5.4 Special casual leave (SCL)

- a. Special Casual leave may be granted to an employee for a period not exceeding fifteen days (15 days) in any one calendar year for the following purposes.
- Participation in Sports and educational programs (e.g., Seminars/Conferences/Workshops) at the University/State/National/International level. Only one event of its kind in a year is permitted.
 - When the employee is selected for such participation in respect of an international sports event by any one of the recognized sports associations, as a member of a team that is accepted as representative on behalf of the College/University/ State/Country.
 - Special casual leave not exceeding fifteen days in a calendar year may be granted to any employee who is chosen by any university to attend examination work. He will not be eligible for TA & DA from the institution.
- b. Sundays and other holidays intervening in the period of SCL for participation in sports events are counted as SCL and are not excluded from the admissible limit of special casual leave. However, Sundays and Holidays can be prefixed and suffixed to the SCL.

5.5 On Official Duty (OOD)

- a. OOD of a maximum of 10 days in an academic year may be granted for the following purposes:
- Attending Orientation Programmes, Research Methodology workshops, Quality Improvement Programme, Conference, Symposia, and Seminars as a delegate nominated by the Institution/University.
 - Delivering lectures at the Institutions and Universities at the invitation of such Institution or Organization, when so deputed by the Institution.
 - Working in another Indian/Foreign University, when so deputed by the Institution.

- Participation in a delegation or working in a committee appointed by the University/ Government / Sister Institution or any other similar academic body.
 - For performing any other duty assigned to him/her by the Institution/University.
- b. The duration of leave shall be considered subject to prior approval by the sanctioning authority.
- c. OOD should be given also for attending meetings in the University/UGC/DST etc. where a faculty is invited to share his/her expertise with an academic body, government agency or any other NGO.

5.6 Extra Ordinary Leave (Leave without Pay)

- a. Extra Ordinary Leave (Leave without salary) may be granted to an employee in the following circumstances.
- When no other leave by rule is admissible or when other leave is admissible, but the employee concerned applies, in writing, for grant of extraordinary leave.
 - When an employee is undergoing treatment for cancer and mental illness/pulmonary tuberculosis/pleurisy of tuberculosis origin/leprosy, the Trust may at its discretion sanction the required extraordinary leave (leave without salary) for the treatment of such illness.

The application, however, should be supported by the Medical Certificate issued by the Medical Specialist treating the concerned disease.

5.7 Maternity Leave

- a. Maternity Leave may be granted to a female staff limited to two surviving children, for a period of up to 180 days from the date of its commencement.
- b. Maternity Leave may also be granted on full pay in cases of miscarriage including abortion; subject to the condition that the leave applied for does not exceed 45 days in the entire service, and the application for leave is supported by a medical certificate.
- c. Maternity Leave shall not be debited to the leave account.

- d. Maternity Leave may be combined with leave of any other kind except Casual leave.
- e. Any leave may be taken without a medical certificate for up to one year in continuation of Maternity leave.
- f. During maternity leave, a leave salary equal to the last pay drawn is admissible.

5.8 Overstaying after the Leave

An employee who remains absent after the expiry of his/her leave or subsequently extends leave and if there is no leave at his/her credit is not entitled to any salary for the period of such absence. Absence from duty after the expiry of leave will render the employee liable for disciplinary action for misconduct except where the employee establishes to the satisfaction of the leave sanctioning authority that he/she was unable to join duty for reasons beyond his/her control.

5.9 Restricted Holiday (RH)

A maximum of two Restricted Holidays (RH) can be availed of by any staff in a particular calendar year from the list of RH circulated by the Government, with prior approval of the competent authority.

5.10 Employment during Leave

An employee who is on leave shall not work in another place or accept any work/profession/consultancy /employment in any capacity either honorary or otherwise, without obtaining permission from the Trust in writing. Any violation of the rule would attract disciplinary action against the employee.

5.11 Leave for Part-time Employees

Part-time employees are not entitled to any other kind of leave except casual leave which shall be limited to one day for every month of service in a calendar year.

5.12 Prefixing and Suffixing of Holidays

The leave under these rules (except casual leave) may be either prefixed or suffixed or both to Sundays/holidays but the intervening Saturdays/Sundays/Holidays shall be included in such leave.

5.13 Leave for Employees on contract

The Members of staff who are appointed on a contractual basis for a minimum period of one year can avail of one-day casual leave after the successful completion of a month.

5.14 Vacation

1. Every educational institution shall provide a vacation for the Teaching staff after every semester as prescribed by the regulating Institution.
2. The following procedure shall be followed for the period of vacation for the teaching staff.
 - All Teaching staff who have completed one year of service are eligible for a vacation period as declared by the Principal/Management if they have completed all academic work like examination duties/evaluation work and other works which are assigned by the Head of the Department.
 - All teaching staff who have not completed one year of service are not eligible to avail of the vacation.
 - Such teaching staff shall be present on duty during vacation periods and complete the tasks assigned by the Head of the Department/Principal.
 - All teaching staff who are availing vacation shall be present on duty on the last working day of the commencement of vacation.

SECTION 6: TRAVEL POLICIES

6.1 General

As part of their duty the employees of Dr.AIT may have to travel to different places. Employees while on travel, shall always uphold the values of Dr.AIT and shall be guided by the objective of travel and conduct themselves in an ennobling manner. While on travel the employees are envoys of the organization and hence should be conversant with the mission, vision, objectives, strategies, and above all the particulars of the respective program to which the travel is linked. They should adhere to the principles of time management and minimum comfort.

Travel plans of employees, for official purposes, must be submitted for approval of the HOD and Principal.

Travel advances should be requested at least two working days in advance and can be taken from the office on the day before the commencement of travel. All travel expenses shall be submitted and reconciled with the travel advances if any and further claims made within a week of completion of the assignment.

6.2 Travel Claims by Dr.AIT Staff

Employees of Dr.AIT travelling for approved official programs are eligible for reimbursement of travel expenses as per the following guidelines.

1. The maximum amount of travel reimbursement that staff can claim is limited to the sleeper class train fare, or bus fare, or economy class for air fare to the place of visit through the shortest way. Actual tickets or boarding pass should be produced at the time of claiming the reimbursement.
2. Tickets may be purchased only from the official travel agents and normally through the administrative functionary of the office concerned.
3. In the event the tour is cancelled/postponed for whatever reason, the travelling staff should immediately plan for ticket cancellation.
4. Actual expenses incurred for local travel with auto rickshaws/cab to reach the place of visit or training center may be claimed.
5. Claims for travel by taxi are subject to the approval of the HOD/Principal.

6. Staff members are entitled to reimbursement of actual conveyance and food expenses during travel for office purposes on the production of bills in original.
7. If the Staff chooses to make private visits along with official visits, no claim for such part of the visit will be honoured.
8. Travel Expense Vouchers (TEV) shall be approved by the Cashier/Accountant and the account shall be settled within a week of return. No new advance will be given if a previous travel advance is still outstanding. Outstanding advances will be recovered from the employee's salary after due notice is given to them.
9. Lodging, Transport, Communication and other miscellaneous expenses in connection with office work are reimbursable on the basis of actuals, subject to the production of valid bills of expenditure, indicating the cause of expenditure.

SECTION 7: PERFORMANCE ASSESSMENT SYSTEM & PROMOTIONS

7.1 General

Dr.AIT considers it very important to assess the performance of each employee against planned results so that it can recognize/appreciate/reward deserving employees, make efforts to bring underperformers to satisfactory levels of achievement, and replace non-performers. The Dr.AIT Performance Assessment System (PMS) comprises performance planning, feedback, and counseling systems, assessment, recognition, and capacity enhancement mechanisms. Performance assessment shall be against set performance objectives and value-based behavior in job management. It is the policy of Dr.AIT to encourage its staff to develop their skills and potential.

7.2 Principles of Performance Management

- a. Link plans to the Short-term goal which is in line with the overall vision and Mission of the Organization as well as its immediate strategic objectives.
- b. Focus on priority results (not routine activities) related to strategic objectives.
- c. Ensure regular feedback from Staff and Students.
- d. Annual Incentive and/or Increment based on performance appraisals/results.

7.3 Performance Planning

This involves the selection of achievable and results-based objectives from the short-term organizational plan.

1. A performance plan for the year for each employee will be prepared in April-June each year specifying realistic objectives and respective results to be achieved. These can be stated as Key Result Areas (KRA) for the Staff. Against these Key Result Areas, indicators should be specified. Working relationships for each area with departments and with other staff vertically and horizontally across committees will be explicitly defined. It would also be important to set these in a time frame. There should be an overall acceptance of the rating system.

2. This plan is to be worked out in consultation with the immediate Managers/HOD and approved by the principal.
3. It should then be signed by the employee and a copy given to him/her and another filed in the respective personal file. A digital file equivalent is also equally acceptable.
4. The employees should revisit their approved performance plans half-yearly along with the Managers/HOD to ensure that result achievements are progressing satisfactorily.

7.4 Capacity Enhancement - Training, Learning and Skill Development of Employees

The organization will provide opportunities for capacity enhancement, to meet staff needs related to the core mission of the organization. The organization recognizes the need for a holistic approach to developing its entire staff through individual and group learning.

1. The Capacity Building Needs Assessment (CBNA) of the staff will be conducted annually in Dr.AIT. Participatory CBNA will be facilitated by an external Resource Person.
2. Identified common training needs of Dr.AIT employees will be addressed by the organization by arranging training for appropriate levels of staff using suitable resource personnel.
3. In case of individual training needs (skills/knowledge) to enhance their job performances identified and recommended by respective Managers during their appraisals, concerned individuals may be sponsored to attend suitable training at institutes/organizations providing these programs.
4. Expenses for all training including travel, boarding and lodging, course fees, etc. of sponsored training will be met by Dr.AIT.
5. For all training-related issues, the decision of the principal will be final.

7.5 Performance Feedback System

- a. At least one midyear feedback on performance is to be provided to staff.
- b. A brief note on this review and related counseling provided shall be prepared and signed by both the employee and the HOD/Principal and maintained in

the employee's personal file. This will facilitate and provide references for annual appraisal.

- c. HOD/Principal will use the half-yearly revisit of performance plans to identify weak areas as well as strengths of each employee and provide appropriate feedback in terms of guidance and counseling to encourage and motivate employees to improve their performance and personal growth.
- d. Observations arising from the review/counseling sessions along with the suggestions made for improvement should be recorded in the employee files to assess improvement in the performance of each employee.

7.6 Performance Appraisal

Faculty members of Higher Educational Institutions today have to perform a variety of tasks pertaining to diverse roles. In addition to instruction, faculty members need to innovate and conduct research for their self-renewal, keep abreast with changes in technology, and develop expertise for effective implementation of curricula. They are also expected to provide services to the industry and community for understanding and contributing to the solution of real-life problems in the industry. Another role relates to the shouldering of administrative responsibilities and cooperation with other faculty, Heads of Departments, and the Head of the Institution. An effective performance appraisal system for Faculty is vital for optimizing the contribution of individual faculty to institutional performance.

7.6.1 Performance Assessment Process

Dr.AIT has a well-established Academic Performance Index (API) system. The performance assessment is held once a year. The members of the faculty record their achievements during the previous year under the various sections.

The Staff members should submit their self-assessment form duly filled up one week before the assessment to their reporting authority who in turn will pass this on to the principal with his/her remarks.

All Improvements in the career of the staff member like increments, promotions, etc. will be based on these performance reports.

The details of performance Appraisal are as shown in Annexure II.

SECTION 8: OFFICE DISCIPLINE AND DECORUM

8.1 Office Hours

- a. The work timings of the Institution is from 9.00 am to 4.30 pm with 1 hour lunch break from 1pm to 2pm.
- b. Management enjoys the right to shift to a different pattern for working days and working hours.
- c. Any change in the class and office timings shall be notified to the respective staff.
- d. All employees shall be at work at the time and place assigned to them. Habitual latecomers shall be liable for disciplinary action.
- e. All staff shall sign the attendance register and swipe their fingerprints at the biometric reader, both in the morning before 9.00 a.m. and evening after 4.30pm. Management may prescribe additional markings as needed from time to time. Latecomers must mark each time of arrival in the late attendance register. At the end of each week, the Administrator or any other authorized person shall adjust the late arrival against the casual leave or leave without pay.
- f. To maintain discipline and promptness in attending the work, all the staff members are requested to cooperate with the institution by following the rules in the right spirit and dedication.
- g. It is the responsibility of each employee to ensure that his/her attendance sheets are marked up to date/complete, all due reports for the month are submitted, and leave records, if any for the month, are also up to date to facilitate preparation and payment of their monthly salary in time.
- h. A staff member shall not leave the workplace earlier than the prescribed working hours. If, for any unavoidable reason, one must leave the workplace earlier, prior written permission should be obtained from the HOD/Principal and an entry in the movement register has to be made before leaving the workplace.

8.2 Tour Itinerary and Report of Project Office and Field Staff

- a. Project officers/Field Staff should submit a copy of such tour itinerary to the Administrator weekly together with their claims of reimbursement of travel expenses in the prescribed forms.

- b. Project Officers posted in the field and Field staff will submit reports on their daily engagements and work. Staff moving out of the office will submit reports on their field visits and accomplishments on return from the field.

8.3 Movement Register

A movement register is to be maintained by the HOD / Principal / Administrator and all staff shall record in the movement register during office hours for official purposes.

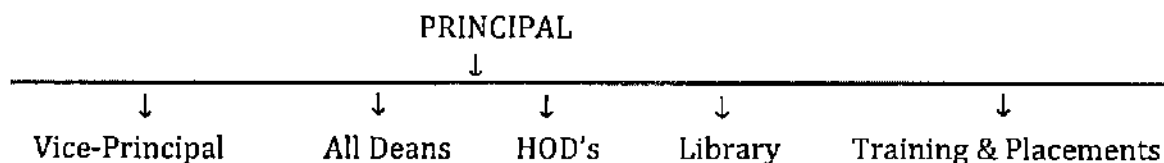
8.4 Staff Duties and Expectations

- a. Every staff member of Dr.AIT shall maintain decorum befitting the status of a Professional education center promoted by the PVPWT.
- b. All employees shall study and imbibe the vision, mission, and objectives of Dr.AIT and be conversant with its avowed objectives and as such take all steps to protect the interests of the organization.
- c. They shall discharge their duties with integrity, honesty, devotion, and diligence and do nothing unbecoming of the staff of Dr.AIT. They shall also conduct themselves with discipline, respect for lawful authorities, and courtesy and kindness to all.
- d. All employees must devote working hours solely to the service of Dr.AIT.
- e. Premises shall be kept neat and clean.
- f. Any employee who needs to work in the office outside of normal office hours should get the permission of his/her Administrator/HOD/Controlling Officer. The same shall be recorded in the Late Hour/Holiday work register duly authenticated by the designated representative as appointed by the Management.
- g. All office equipment is to be used carefully and as needed. Movement of electronic equipment/sound system/camera etc., must be recorded in the concerned inventory movement register.
- h. Staff are required to set high standards in energy saving.
- i. Staff shall also co-operate in ensuring security to office premises. No employee is allowed to remove/take away any official material from the office without permission of the officer who is responsible for the custody of the material.
- j. No employee shall disrupt the work of fellow employees.

- k. Every employee is required to notify the HR Manager of any change in address or telephone number within 48 hours of such a change for personnel records updating.
- l. Every staff is obliged to live up to the confidence bestowed on him/her and shall not directly or indirectly divulge matters related to projects/programs of Dr.AIT and such details that have come to his/her possession in the discharge of his/her duty to outside agency or institution. Staff shall not disclose or publish documents or information regarding the organization in his/her possession or any other matter which are the property of the organization.
- m. Staff shall neither take up assignment/employment-concurrent or part-time with other organizations nor shall a staff accept honorarium or fees for any service rendered to another organization or individual. The staffs are not permitted to conduct the business of other organizations or carry out their interests without the explicit permission of Dr.AIT.
- n. Staff shall obtain permission from the Administrator to participate in programs in visual media or give interviews to print and/or digital media.
- o. In the event, that an employee is authorized by management as a spokesperson to represent the organization to the media, reasonable measures must be taken to ensure the accuracy of any information related to Dr.AIT in all material respects before it is disclosed. Media inquiries must be treated with due care.
- p. Staff shall undertake a journey abroad only with the approval of the Trust.
- q. Staff members shall desist from soliciting favors from the partners and stakeholders of the organization. Nor shall they raise funds through donations from the public for any purpose whatsoever.
- r. No staff shall directly or indirectly participate in such activities which are against the sovereignty and integrity of the Nation or join any anti-national organizations. Nor shall any staff associate with organizations that profess values contrary to those of Dr.AIT.
- s. Staff members are permitted to go on Other Duty (work not directly related to the functioning of the college) for a period of 15 days in an academic year in connection with academic work related to university / and other bodies for (1) Practical Examinations (2) Invigilation (3) Central Valuation including the meetings of Board of Studies (4) Valuation of answers scripts etc. Prior written permission from the HOD/Principal must be obtained before proceeding on ODD (Other Duty).

- t. Regulation of OOD (On Duty) work directly related to the institute's functioning will be permitted after obtaining prior written permission from the Principal through HOD. A report on the activities while on other duty must be submitted to the Administrator along with any claims for perusal.
- u. Any deliberate violation of office discipline and decorum will attract disciplinary action as per norms.

SECTION 9: ORGANISATION OF THE ACADEMIC WING AND ITS RESPONSIBILITIES



9.1 Principal

The principal is the head of the Institution. He/She has the overall responsibility to promote various curricular, co-curricular, and extracurricular activities in the Institution and is also responsible for the effective administration and financial management of the institution.

He/She has the following important functions:

9.1.1 Leadership Function:

1. The Principal should be a true academic leader and set high standards of discipline, commitment, and involvement by taking up research, publication, consultancy, patents, and copyright activities.
2. Should inspire all his / her colleagues in the achievement of the goals of the organization and lead them from the front.
3. Should work with the staff at ground level to understand the problems and concerns of colleagues and take care of their requirements.
4. Should monitor the functioning of the academic and administrative staff to see that they fulfill their responsibilities.

9.1.2 Visionary Functions:

1. The principal should develop long-term and short-term plans to take the institution to the next level.
2. Should establish necessary systems, procedures, and policies for the effective functioning of the institution.

9.1.3 Strategic Functions:

1. The Principal should develop a strong association with industry, research, and consultancy establishments.
2. Should get the industry experts and entrepreneurs on the governing council and other advisory bodies of the Institution.
3. Should strengthen the alumni network for professional and personal support towards the development of the institution.

9.1.4 Developmental Functions:

1. The principal needs to locate, contact, attract, and recruit the right kind of faculty members to the institution, keeping in view its future needs.
2. Should nurture and facilitate the faculty and give them the necessary guidance and support.
3. Should identify the core competencies of the institution and project them.
4. Should focus on branding the institution in terms of the strengths of its departments or activities.
5. Should develop a working and learning culture of a high order.
6. Should develop the necessary infrastructure, most importantly the library, and laboratories to international standards.

9.1.5 Execution and Reporting:

1. The principal is the Member Secretary of the Governing Council and is responsible for all matters.
2. He/she has to transact academics and administration with all the departments and organizations concerned.
3. He/She has to furnish periodical statements of financial, academic, and other matters to the Trust.
4. He/She has to obtain approval from the Chairman of the BOG for any urgent action to be taken by any authority regarding the administration of the institution.
5. He/She has to oversee the service records of faculty and non-teaching staff and get the service records periodically updated through the Administrator and respective heads of units.

6. He/She has to take necessary legal advice and follow-up action wherever required on behalf of the Institution.
7. He/She has to attend to all matters relating to the Governing Body like arranging for the preparation of the agenda and the meeting, drafting the minutes for final approval by the Chairman, and also taking suitable steps for the implementation of the resolutions of the GB and convey to the GB the actions taken by him/her.

9.2 Vice-Principal

1. In the absence of the Principal, the Vice-Principal will discharge all the duties and responsibilities of the principal.
2. He/She scrutinizes all the proposals on academic matters and submits them to the principal.
3. He/She advises, supervises, and is responsible for monitoring the academic activities as per schedule.
4. He/She oversees the student's Co-Curricular, Extra-Curricular activities, and campus discipline.
5. He/She leads and coordinates networking with premier institutions and industries for teaching, learning and research collaborations.
6. He/She participates in the development of policies, objectives, and short and long-term plans.
7. He/She makes recommendations on promotion and all disciplinary matters.
8. He/She liaises and coordinates all statutory administrative compliances with VTU, AICTE, UGC, NAAC, NBA, NIRF, and other professional bodies through the principal.
9. Updates himself/herself with new educational trends to implement them in the institution.
10. He/She assists the principal in writing Professional Growth Plans.
11. Any other work entrusted by the Principal/Management.

9.3 DEAN-Academics

The Dean of Academics is responsible for developing a vibrant organizational culture characterized by academic excellence, pedagogy, purposeful mentor-mentee relationships, and academic activities.

He/She is responsible for:

1. Preparation of the academic almanac, monitoring the academic progress of the departments, syllabus coverage, student counseling/mentoring, directing and supervising student activity programs.
2. Preparing an academic calendar of events and monitoring the mandatory academic requirements.
3. Identifying the upcoming technological developments in close collaboration with the senior faculty.
4. Revise the curriculum in consultation with stakeholders incorporating the core academic, research, and industry requirements.
5. Convening Academic Council meetings from time to time to discuss various academic activities and policies and implementation of resolutions on the issues deliberated during the meetings.
6. Liaison with the Heads of the departments to update the list of mentees and mentors from each department.
7. Overseeing Mentoring activities including verification of proctor dairy and offering suggestions to overcome any academic issues.
8. Maintaining an up-to-date database of career opportunities for the teaching community with information on qualification and skill up-gradation opportunities.
9. Conducting orientation programs for newly inducted faculty of the institution.
10. Conducting faculty appraisal, evaluation, and collecting the data.
11. To oversee the teaching-learning methodologies adopted by the faculty and enhance them (by consulting senior academicians) periodically.
12. Any other function that may be assaigned by the principal from time to time.

9.4 DEAN-R&D

He/She is responsible for:

1. Developing and establishing a policy to promote research culture in the Institution.
2. Prioritizing research areas based on the expertise available in the Institution.
3. Organizing visits by eminent researchers to interact with the faculty and students.
4. Identifying opportunities for externally funded R&D projects, applying for funding, submitting project proposals, and following up with the funding agencies, to secure the sanction of projects.
5. Forming an Academic Research Committee (ARC) composed of distinguished faculty members having an aptitude for research and, members from Industry/R&D organizations to address the issues of research.
6. Motivating the eligible faculty to guide Ph.D. scholars.
7. Setting yearly targets for research publications by the faculty in national and international journals and major paper presentations in regional, national, and international conferences, regularly monitoring the progress, and taking steps, as required, for the achievement of targets.
8. Publishing a research journal of the Institution, developing publication policy, constituting an editorial board, and functioning as Editor-in-Chief of the journal.
9. Develop a policy to check malpractices and misconduct in research.
10. Develop a policy for instituting research awards and incentives to faculty for national and international recognition.
11. Maintaining a database of paper presentations, paper publications, and publication of books and book chapters, by the faculty of all the departments of the Institution including research awards, and recognitions received by them from reputed professional bodies and agencies.
12. Initiating and coordinating the signing of MoUs with other institutions, industries, and corporate houses, for collaborative research and/or

development, enhancing the quality and output of teaching-learning, research, and development activities.

9.5 DEAN – Planning & Development

The Planning and Development Division formulates short-term and long-term plans, policies, and procedures to operationalize various programs and activities of the Institution. He/She-

1. Organizes quarterly meetings of IQAC (both internal/external)
2. Prepares the agenda/PPT for the Governing Body (BOG) meeting (Yearly 2 meetings)
3. Compiles and processes data for AICTE approval for starting new UG/PG programs or reduction in intake (yearly)
4. Compiles and submits Dr. AIT's Annual Report to AICTE and VTU
5. Compiles data for VTU- approval (yearly)
6. Processes starting of new UG/PG programs or reduction or closure or enhancement in intake (yearly) and sends them for approval.
7. Prepares for VTU Local Inquiry Committee (LIC) visit for Permanent/temporary affiliation and recognition of research centers (yearly)
8. Prepares a Good Governance document (once in 2 years)
9. Compiles consolidated data of Academic Performance Indicators (APIs) of Faculty Members.
10. Compiles and submits data for NIRF Ranking, NAAC Accreditation, NBA Accreditation, and Atal Ranking of Institutions on Innovation Achievements (ARIIA).
11. Prepares and submits the Annual Quality Assurance Report (AQAR) annually to NAAC.

9.6 DEAN (Examinations)

1. Dean (Examinations) shall supervise the conduct of CIE, SEE, semester-end makeup examination (SEME), Summer semester-end examination (SSEE), Summer semester-end makeup examination (SSEME) of the Institute for UG and PG degree programs offered by the Institute,

- ensures timely evaluation, and maintains strict confidentiality.
2. Dean (E) shall appoint examiners for the valuation of theory and laboratory courses (UG & PG) based on recommendations of BoE.
 3. Dean (E) shall appoint the DCS and Squad members to monitor the smooth conduction of Semester End Examinations.
 4. Approves the panel of examiners for evaluation of PG theses, evaluation and conduction of viva-voce examination.
 5. Ensures timely declaration of results after consultation with the Principal and HoDs.
 6. Selection/ picking of the question paper for the examination from the bunch of scrutinized question papers.
 7. Issue of Grade cards, transcripts, Provisional Degree Certificate, Course Completion Certificate, migration certificates, CGPA to Percentage conversion certificates, etc.
 8. Conducting graduation ceremonies of qualified UG / PG students.
 9. Setting guidelines for examination and evaluation, amendment of the guidelines from time to time, ensuring strict adherence to guidelines by faculty, and sorting out other examination-related issues.
 10. Enforce disciplinary action against the candidates for violation of prescribed rules in the Examination halls.
 11. Dean(E) takes care of the safe custody of all important Examination registers, result files, question papers, answer booklets, and records concerning the examinations.
 12. Convenes the meeting of coordinators and staff members before the commencement of the examination to brief them on their duties during the examinations.
 13. Convenes the meeting of MPCCC and announces the penalty on the students caught under malpractice cases during examinations.
 14. Monitors the printing of the final Camera-Ready Copy of the examination question papers.
 15. Postpones or cancels the examination in part or in whole, if necessary, in consultation with higher officials.
 16. Dean (E) shall supervise the work of the examination and office staff.
 17. Issues all notifications/circulars, timetable of CIE and SEE/SEME/SSEE/ SSEME as per the calendar of events.

18. Declaration of medal winners for graduation day.
19. Arranging the audit of question papers, schemes, solutions, and answer scripts periodically to meet the requirements of NBA/ NAAC/ VTU/ UGC and other bodies.
20. Monitors and approves the financial transactions related to the examination activities.

9.7 DEAN – III (Institution Industry Interaction)

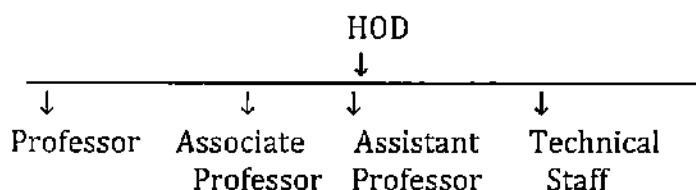
1. Promotes Industry Institute Interactions at the Programme level and Institution level.
2. Arranges webinars/seminars/workshops from Industry experts for the benefit of students and faculty.
3. Establishes Centre of Excellence for Industries/ Corporates to Provide Real-Time exposure to technologies
4. Promotes Industry-sponsored research activities at the institute for faculty and students.
5. Establishes convergence with industrial and research organizations from various fields through MOUs as a form of interaction.
6. Promotes consultancy services, startup, and Incubation activities in the institute.
7. Promotes participation of experts from the industry in curriculum development.
8. Promotes Short-term assignments to faculty members in industries.
9. Arranges visits of faculty/professors to industries.
10. Organizes UG and PG projects/dissertation work in industries under the joint guidance of the faculty and experts from the industry.
11. Assists the Training and Placement Division in connecting with industries for on-campus recruitment.

9.8 DEAN – Foreign Affairs

1. Leads the development of the Institute's strategic international agenda through the development of new initiatives and strategic partnerships.
2. Interacts with foreign universities and reputed international companies for MOUs and collaboration.

3. Organizes student and faculty exchange programs, joint research projects, joint publications, and Internships with foreign universities, reputed Indian universities, and international companies.
4. Initiates credit exchange programs for UG/PG students with reputed foreign universities.
5. Encourages student and faculty members to involve with international collaborations.

9.9 Head of Department (HOD)



The Head of the Department is the leader of the Department, and responsible for the efficient functioning of the department. The following are the responsibilities of the HOD.

1. He/she is responsible for the implementation of academic, co-curricular, and extracurricular activities in the department.
2. Is responsible for the development of the syllabus and its revision from time to time as per AICTE/VTU norms and the latest developments in the field.
3. Should promptly comply with all institutional requirements as regards departmental assignments and evaluation systems.
4. Should plan Schemes of collaboration and consultancy with Industry and other professional organizations.
5. Should ensure proper maintenance and upkeep of the department and also allocate work among faculty and technical staff.
6. Shall be the member secretary of the equipment purchase committee for his/her department for procurement of equipment, purchase of consumables, and other requirements of the department.
7. Should monitor students' progress and arrange for Parents-Teacher's meetings.
8. Compiles the faculty appraisal and student feedback and sends the consolidated report to the Vice-Principal/Principal.
9. Will write the performance reports of all teaching and technical staff of his/her department and submit them to the Vice-Principal/Principal.
10. Should ensure smooth conduct of examinations including paper setting, assessment of the theory, and labs according to Bloom's taxonomy and Rubrics.

11. Sanctions leave for Teaching faculty and other non-teaching staff of the department and recommends leave requests of Professors and Associate Professors to the Vice-Principal/Principal.
12. Ensures purchase and maintenance of stock registers by the laboratory assistant.
13. Motivates/Encourages faculty to submit research proposals to various research funding agencies such as AICTE, DST, VGST, DRDO, etc.,
14. Organizes need-based seminars/symposia/industrial visits/excursions etc.
15. Invite guest speakers for interaction and guidance of UG/PG students.
16. Ensures that college equipment/facilities under the department's control are properly maintained and serviced as required.
17. Provides leadership to meet the instructional goals of the department and Institute.
18. Conduct regular meetings with the department staff.
19. Coordinates the formulation of the department's short- and long-term plans.
20. Assists in the disposal of student complaints, and grievances that originate in the department.
21. Recognizes and promotes strengths of faculty/staff/students.
22. Maintains records of departmental activities and achievements.
23. Adheres to Quality Management System (QMS) Procedures.
24. Assigns faculty to be the Laboratory in charge to monitor the laboratory functioning effectively.

9.9.1 Roles and Responsibilities of a Professor

1. Teaching students with subject expertise as per AICTE/VTU norms.
2. Instructing and conducting experiments in the laboratory.
3. Student Assessment, Evaluation, and Conduction of Examinations.
4. Research Activities and Research Guidance.
5. Leader for Consultancy Projects and Extension Services.
6. Curriculum Development and Developing Resource Materials.
7. Innovation in Teaching, Laboratory work, and Instruction Materials.
8. Academic and Administrative Planning and Development at the

Departmental Level and assisting at the Institutional Level.

9. To ensure training of faculty in his/her subject of Specialization.
10. Encourage colleagues and students to work on research projects and publish papers in reputed journals and conferences.
11. Conducting workshops/seminars/symposia/visits/excursions and liaison with industry and R&D organizations.
12. Preparation and Submission of Project Proposals to obtain External Financial Assistance.
13. Offering academic support to the Associate and Assistant Professors.
14. Conducting bridge courses for Slow Learners.
15. Providing internship in both PG & UG Courses in his/her field of specialization.
16. Plans for the development of his/her department and monitor its effective implementation.
17. Contribute to patent and IPR activities.
18. In addition to the above, he/she shall cooperate wholeheartedly with the HOD, the Head of the institution, and other members of the teaching staff in the performance of additional duties which are required for the welfare of the students and the development of the department and Institution.

9.9.2 Roles and Responsibilities of an Associate Professor

1. Teaching students with subject expertise as per AICTE/VTU norms.
2. Preparing lessons as per the university curriculum.
3. Introduce new topics in the syllabus.
4. Developing teaching content as per the requirements.
5. Explaining and teaching students various concepts and theories.
6. Attending departmental and faculty meetings.
7. Organizing seminars and events for the students.
8. Visiting other colleges and universities as an external resource person.
9. Suggest improvements in the teaching methods and techniques.
10. Pays extra attention to the slow learners among the students.
11. Offers academic support to the Assistant Professors.
12. Oversees students' project work.

13. Maintains a happy environment while engaging students.
14. Stays abreast of the latest developments in his/her field of expertise.
15. Encourages colleagues and students to work on research projects and publish papers in reputed journals and conferences.
16. Conducts Workshops/Seminars/Conferences and maintains liaison with industry and R&D organizations.
17. Prepares and submits Project Proposals to obtain External Financial Assistance.
18. Perform any other task, which may be assigned by the HOD from time to time.

9.9.3 Roles and Responsibilities of an Assistant Professor

1. Assistant professors shall engage in classes regularly and punctually and do their best to teach the students the latest developments in their field of study.
2. Develop methodology to teach the students through problem-solving, group discussions, etc.
3. Develop course handouts and audio-visual/multimedia programs on the topic as required.
4. Prepare the lesson plan in consultation with the course coordinator and execute it.
5. Complete the syllabus within the stipulated time.
6. Report to the class on time and utilize classroom assessment techniques effectively.
7. Prepare a test question paper in consultation with the course coordinator.
8. In consultation with the course coordinator, align course outcomes to the POs and PSOs.
9. Attend the meetings of the course instructors and course coordinator to discuss issues affecting learning and other classroom issues.
10. Help the HOD to enforce and maintain discipline amongst the students.
11. Update the attendance register and course file periodically.
12. Carry out research/innovative programs in the department.

13. Organize need based workshops/seminars/visits/excursions etc. by coordinating with colleagues.
14. Design Industry-aligned curriculum for theory subjects and case study-based laboratory experiments.
15. Be available in the lab during laboratory periods for explanation.
16. Evaluate lab workbooks and provide feedback to the students on time.
17. Recommend procurement of equipment, if any, for the smooth conduct of all experiments.
18. Ensure that the laboratory is clean and tidy.
19. Perform any other co-curricular work related to the College as may be assigned from time to time by the HOD/coordinator.

9.10 Student Mentor/Counselor:

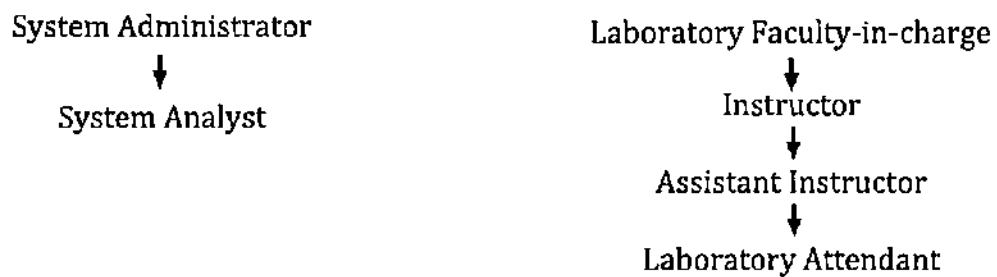
There shall be a mentor drawn from the teaching staff of the department for every 20 students and their responsibilities shall be:

1. Be familiar with the personal histories of assigned students including their Family background and determine the reasons for the student's problem, counsel, and guide the student towards a remedial program.
2. Explain to the students about the program in general, the basic education as it relates to the branch of the student, and the preparation for life pursuits generally.
3. Serve as a "Friend, Philosopher, and Guide" to the student by demonstrating a personal interest in him/her and helping him/her adjust to the institution; by serving as the main contact person for obtaining information that can be used to help the student; and by allowing the student freedom to make his own choices.
4. Explain to the student the importance of attendance and Internal Marks and their implications for examinations.
5. Assist the student at regular intervals to make proper self-evaluation.
6. Explain the importance of Self-Motivation in doing well in a career and subsequently in life.
7. Counsel students whose progress is unsatisfactory and report the same to the Program Coordinator.
8. Monitor the interim and final performance of students and liaise with parents, whenever required.

9. Help the students explore the career opportunities in the branch of engineering and provide information about Higher education and job opportunities.

9.11 Technical Staff

Dr.AIT being an Institution of Technology functions through several Laboratories attached to each branch to enable the students to have Hands-on experience. These labs in each department are headed by a faculty-in-charge drawn from that department as an additional charge.



9.11.1 Systems Administrator

The Systems Administrator shall discharge his/her duties under the supervision of the Vice-Principal; He/she shall broadly perform the following duties:

1. The systems administrator works as a Nodal officer in Assessing system requirements and related hardware and software and passes on the requirement to the procurement manager.
2. Configuring servers and System performance tuning.
3. Installation and maintenance of software for the systems on the campus including operating system updates, patches, and configuration changes.
4. Installing and configuring new hardware and software.
5. Administering campus-wide LAN and Internet services thereby ensuring that the network infrastructure is up and running.
6. Facilitating the conduct of periodic computer awareness/literacy courses/training programs for the students, and other staff in the Institution.
7. Implement the installation of ICT and MIS software for the institute.

8. Analyzing system logs and identifying potential issues with computer systems.
9. Introducing and integrating new technologies into existing data center environments.
10. Performing routine audits of systems and software.
11. Performing backup of data and files.
12. Adding, removing, or updating user account information, resetting passwords, etc.
13. Answering technical queries.
14. Securing the security of systems and networks.
15. Any other work assigned from time to time.

9.11.1.1 Systems Analyst

The Systems Analyst is responsible to the Systems Administrator. He/She shall perform all the activities associated with effective and optimum utilization of computer hardware and software, their upkeep, and maintenance. He/She should take up all assignments given time to time.

9.11.2 Laboratory Faculty-in-charge:

The Laboratory Faculty-in-charge shall be an Assistant/Associate Professor. He is drawn from the department and assigned these responsibilities by the Head of the Department as an additional charge. He/she is responsible for maintaining the laboratories in top order.

His/her responsibilities include:

1. Planning the design and development of the laboratory.
2. Procurement and commissioning of equipment.
3. Monitoring the effective maintenance of the lab and its equipment.
4. Assist the Head of the Department with scheduling and conducting Laboratory classes.
5. Prepare the Laboratory manuals.

9.11.3 Instructor:

Every laboratory is headed by an instructor. He/She is responsible to the Laboratory Faculty-in-charge, and the Head of the Department in all matters connected with the laboratory instruction, proper utilization of men, materials, and machines, and maintenance of the laboratory assigned to him/her.

His/her responsibilities include:

1. Erection/Installation/Commissioning of plant and equipment.
2. Procurement/Storage/Accounting of raw materials, tools, and instruments.
3. Planning, scheduling, organizing, coordinating, and monitoring Laboratory instructions and tasks.
4. Arranging for the issue of raw materials, tools, and equipment for the workshop/laboratories.
5. Plan, deliver, and evaluate theoretical and laboratories instruction.
6. Guide the students in the performance of practical tasks and skill exercises and evaluate their performance.
7. Arrange for preventive and breakdown maintenance.
8. Assist students and faculty members in the fabrication of their projects.
9. Participate in professional development activities.
10. Assist the laboratory faculty-in-charge as and when necessary.

9.11.4 Assistant Instructor

The Assistant Instructor is responsible to the instructor in all matters connected with instruction, utilization, and maintenance of machines, equipment, and materials in the laboratory allocated to him.

His/her responsibilities include:

1. Procurement/Storage/Accounting of raw materials, tools, and instruments.
2. Issue of materials/tools/equipment for shop jobs.
3. Plan, deliver, and evaluate laboratory instruction.
4. Guide the students in the performance of practical tasks and skill exercises.
5. Inculcate safety procedures and safety practices among students

6. Supervise the maintenance of tools and equipment including preventive and breakdown maintenance.
7. Assist students and faculty members in laboratory experiments.

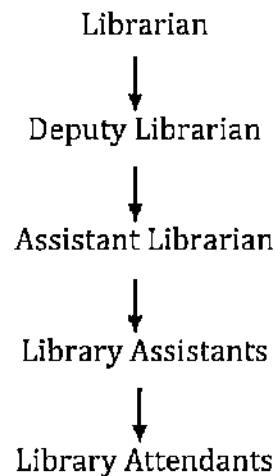
9.11.5 Laboratory Attendant

The Laboratory Attendant shall be responsible for the Assistant Instructor/Instructor. His/her responsibilities include:

1. Assist the Instructors and Assistant Instructors in the performance of their duties.
2. Routine maintenance of tools and equipment and keeping laboratories clean.
3. Attend clerical tasks, such as sorting, maintaining, and sending files.
4. Keeping an inventory of office supplies.
5. Receiving visitors to the office.

9.12 Library

Dr.AIT has a vast library consisting of professional and general books on various subjects. The library is headed by a Librarian.



9.12.1 Librarian

The Librarian is the head of the library, and He/She is responsible for the planning and development of the library and provides the necessary library facilities to the students and staff of the Institution. He/She is responsible to the Vice-Principal/Principal in all matters connected with the library activities.

The role of the Librarian is:

1. Developing a strategic developmental plan for the library: Manpower, Content, Infrastructure, Budgeting.
2. Collection, development, Resource identification, evaluation, subscription negotiation, and content licensing.
3. Budget, content licensing, subscriptions, strategic partnerships, and operations management.
4. The librarian may interact directly with patrons.
5. Librarians may direct library staff to specific services offered, and help them to locate resources such as books, magazines, and audio-visual materials.
6. Librarian may represent the library at public functions by speaking at fund-raising events, and networking with potential donors.
7. Provides leadership and operational management for library functions and services.
8. Evaluate existing services and balance current demand against emerging needs within the framework of available resources.
9. Initiate, plan, and facilitate effective library facilities.
10. Arranging library committee meetings.
11. Digitisation of library and open access 24 Hours.
12. Maintenance of reports and statistics.
13. Extend help for conferences, seminars, workshops, etc.
14. Arranging for physical stock verification, weeding out of books, writing-off books, etc.
15. Arranging payments for Books and other documents.
16. Librarians might also attend industry-related conferences, where He/She can network with authors, publishers, and others in the literary community.

17. Develop and administer library policy and procedures for effective functioning.
18. Organize Authors workshops involving all publishers.

9.12.2 Deputy Librarian

The Deputy Librarian is responsible to the Librarian in all matters connected with the library.

The roles of the Deputy Librarian are:

1. Assisting Librarian in all the above-mentioned responsibilities.
2. To take care of the library in the absence of the Librarian.
3. Responsible for planning and developing the institutions library.
4. Provides necessary services to the users.
5. Overall supervision of the library.
6. Budget preparation.
7. Acquisition of books, journals, etc.
8. Accessing books.
9. Supervision of classification, cataloguing and indexing of books.
10. Selective dissemination of information, and newspaper clipping services.
11. Reference service
12. Maintenance of records and statistics.
13. Updating digital library and e-resources on time.
14. Thorough vigilance of the users.
15. Any other work assigned from time to time.

9.12.3 Assistant Librarian

The Assistant Librarian is responsible to the Librarian in all matters connected with the library. He/She is responsible for:

1. Assisting the Librarian in his/her work and general supervision of the library in the absence of the Librarian/Deputy Librarian.
2. Accessioning of Books.
3. Registration of Periodicals.

4. Data entry of Books and other documents.
5. Classification and cataloguing of books.
6. Library transactions.
7. Stock restoration and rectification.
8. Attending to the queries from the readers.
9. Maintenance of over-due collection record.
10. Thorough vigilance on the users.
11. Maintenance of reference section.
12. Any other work assigned from time to time.

9.12.4 Library Assistants

The Library Assistants work under the supervision of the Assistant Librarian and the Librarian.

He/She is responsible for:

1. Taking care of counter transactions.
2. Merging of Books and other documents.
3. Stock verification.
4. Library Transactions.
5. Maintenance of transaction records up to date.
6. Thorough vigilance on the users.
7. Assisting in physical stock verification, weeding out of books, binding work etc.
8. Preparation of newspaper bills.
9. Any other work assigned from time to time.

9.12.5 Library Attendants:

The Library Attendants are responsible to the Librarian/Deputy Librarian/Asst. Librarian and perform the following duties:

1. Distribution of correspondence papers.
2. Setting and pinning of newspapers.
3. Pasting bar code labels, due date slips, transaction tape etc.
4. Stamping of library seals, accession seal, etc. on books and other documents.

5. Assisting in merging of books.
6. Managing property counter.
7. Checking outgoing books.
8. Maintaining and upkeep of the library.
9. Repair of worn-out books.
10. Assisting professional staff with merging of books, stock verification etc.
11. Verification of new books for any damages.
12. Any other work assigned by higher authority from time to time.

9.13 Training and Placement Officer

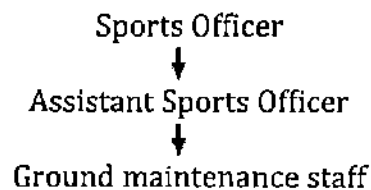
Dr.AIT provides special training in soft skills, employability skills, technical skills, analytical skills and mock Interviews to make the students fit for employment.

1. The placement and training officer should maintain good liaison with the industry.
2. Arrange campus interviews and propose an annual T&P budget.
3. Prepares database of top international/national companies consisting of their addresses, details of operations, their expectations, their HR team, etc. for which services of students can be utilized.
4. Work with faculty members/department Heads and administration to integrate career planning and academic curriculum as well as coordinate Project Work/Summer Training/internship programs.
5. Compiles and maintains a data bank on student profiles and (video) resumes along with their photographs.
6. Acts as a link between students, alumni, and the employment community.
7. Upgrade the student's skill sets commensurate with the expectations of the industry.
8. Communicates the resume of suitable students to potential employers.
9. Organizes placement training for the students and make them ready for interviews and group discussions.

10. Provides information on the schedule of recruitment drives well in advance to all department placement coordinators, HoDs, Deans, Vice-Principal/Principal, and Students.
11. Placing requests for resources required well in advance, coordinates with the concerned and ensures the availability of the same.
12. Sends details of the placed candidate vis-a-vis the companies to all HoDs, departments' placement coordinators, and Vice-Principal/Principal immediately after the recruitment drive is completed and placements announced.
13. Send hard copies of all appointment orders of students recruited to the concerned HoDs.

9.14 Physical Education Department:

The physical education department consists of



9.14.1 Responsibilities of the Sports Officer:

1. He shall organize a physical fitness routine for the students from time to time. He shall coach the students either before or after class hours in the morning and evening.
2. He will be responsible for the conduct of tournaments and athletic meets in the college. He imparts coaching and/or training to the students to participate in intercollegiate and /or inter-university competitions and National and International competitions.
3. The Sports Officer shall arrange for sports meets and other coaching camps for the students.
4. The Sports Officer shall be responsible for the selection of a team of talented students to represent the college in various sports events and motivate them to win trophies, shields, medals, and other prizes.
5. He shall discharge any other functions, duties, and assignments allocated

to him from time to time by the principal or any other higher authority.

6. He is the Member-Convener of the sports committee, arranges the periodical meeting of the sports committee and prepares the minutes of the meetings.

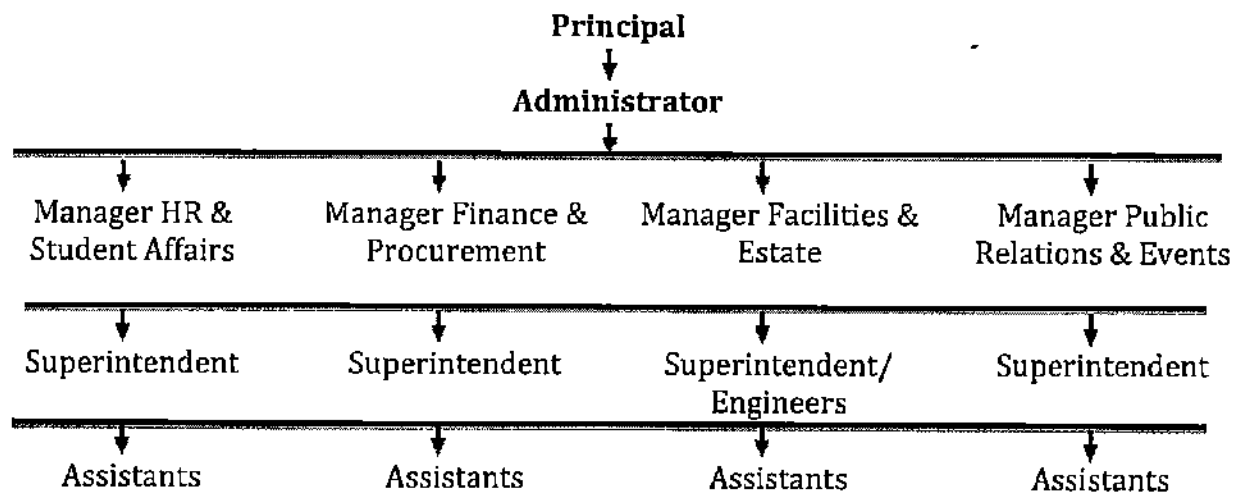
9.14.2 Responsibilities of the Assistant Sports Officer:

1. He/She is responsible to the Sports officer concerning all matters relating to sports.
2. He/She is responsible for the maintenance of the Day Book, Stock Book, and the accounts of the sports fund.
3. He/She shall arrange for conducting annual periodical stock verification of sports materials and other equipment and submit annual stock verification reports to the Principal through the Sports officer with his specific findings. If any difference is noticed between book balance and physical balance, the same may be entered in the annual stock verification report in the shortage column through the sports committee, and action is taken if there is any lapse.

9.14.3 Responsibilities of the Ground Maintenance staff:

1. They assist the Sports officer and Asst Sport officer in all matters.
2. They are responsible for routine sports ground maintenance.
3. They are responsible for marking the boundaries of the sports events.
4. Any other works assigned by the Sports Officer/Assistant Sports Officer.

SECTION 10: ORGANISATION OF THE ADMINISTRATIVE WING & ITS RESPONSIBILITIES



10.1 Administrator

The administrator is the head of the Administration of the institution and attends to all its administrative work. As far as the finances of the institution are concerned, the Administrator is responsible for the approval and payment of bills as per the delegation matrix. He is responsible for signing the cheques concerning recurring and regular payments (Additional signatures of the Principal/Secretary may be required as per the delegation matrix).

The following are the broad duties and responsibilities of the Administrator:

1. To review, monitor, and approve all day-to-day administrative and financial transactions as listed in the delegation matrix.
2. To implement the decisions of the Trust, Managing Committee, and Secretary on administrative and financial matters of the Trust.
3. Verify the accuracy and correctness of the expenditure before any bill is passed.
4. Approve the payments as per the delegation matrix only after ensuring that applicable GST, TDS, etc., are complied with.
5. Review all expenses category wise and identify the increases in cost with reasons and submit a report to the trust before 30th April of every year.

6. Consult the budget before approving any bill for payment.
7. No expenses can be approved by the Administrator that are more than budget without the approval of the Secretary.
8. To sign cheques with one of the joint signatories.
9. To be responsible for obtaining the approval of the Secretary, wherever necessary.
10. To provide information sought by the Secretary on a timely basis.
11. To ensure preparation and submission of the Annual Budget and Revised Budget before 31st January every year.
12. The scale of pay of the Administrator could be equivalent to that of a Associate Professor or as decided by the Trust from time to time.

10.2 Managers of different wings

The scale of pay of Managers shall be as per the scale fixed for the Assistant Professors. This can however be raised based on experience and other criteria in specific cases.

10.2.1 Manager Human Resources & Students affairs.

Role in respect of Human Resources:

1. HR Manager is responsible for Recruitment, Salary and other related payments, staff discipline, leave and retirement settlements, and all matters pertaining to the staff at the institute level.
2. Preparation and updating of employee handbook.
3. Preparing recruitment plans, including writing and posting job announcements for all categories and levels of employees.
4. Attend meetings with the Administrator, Principal, and Management.
5. Publish payroll checks, earnings statements, and tax information to all the staff.
6. Ensure compliance with federal, state, and local employment laws, including affirmative action and Equal Employment Opportunity (EEO).
7. Keep the staff directory and organizational charts up to date.
8. Maintain records and reports, including faculty certifications and professional development.

9. Oversee hiring and exit interviews and procedures, including new employee orientation and the processing of initial and terminal paperwork.
10. Schedules interviews.
11. Serve as liaison between administrator, professional and support staff, Board of Management and staff unions.
12. Supervise the activities of the HR team and stay informed of current HR trends and best practices.
13. Verify candidates' credentials, including licensing and certification as required for the position. Perform or arrange for reference checks and background checks.

Role in Respect of Student Affairs:

1. The Student Affairs Manager is responsible for looking after Admissions, Scholarships, and student discipline on campus and for final clearance (No dues) of students at the institute level.
2. Plans and develops a set of goals and objectives for student services.
3. Coordinates and administers student support to enrolled and prospective students, such as course registration, graduation processing, petitioning, withdrawals, program documentation, computer accounts, information sessions, receptions, and student orientations.
4. Counsels and confers with students providing program procedures, policies, goals, and objectives, technical guidance, and problem resolution.
5. Assists in collaboration with other colleges to ensure a coordinated approach to students for Inter-college fests.
6. Maintains student records on the database and creates and provides reports. Provides contact point for enrolled and prospective students.
7. Assists with accreditation review, coordinates logistics, scheduling, and related matters.
8. Attends and participates in staff meetings, professional development seminars, and other student support-related meetings.
9. Liaison with student organizations.
10. Takes care of all the activities of Alumni.

10.2.2 Manager Finance & Procurement

Role in respect of Finance:

The following are the duties and responsibilities of the Finance Manager:

1. The Finance Manager will ensure that all transactions are accounted for on a timely basis.
2. Should ensure that the work allocated to Accountants is completed without delay.
3. Ensure that revenues such as Tuition fees, admission fees etc. are collected and accounted on daily basis.
4. Ensure Student Wise Scholarship details are recorded and Bank Reconciliation is done on monthly basis for all bank accounts.
5. Ensure expenses incurred are supported by vouchers and approved for further documentation and payments.
6. Ensure that all documents such as Bank Statements, Expenses Vouchers, Statutory Paid Challans, Bills, Invoices etc. are filed and submitted as and when asked for.
7. Ensure details of information, clarifications, and requests from the Management are provided within a reasonable period.
8. Ensure that payment files are forwarded to the concerned authority for approval after all statutory compliances and adjustment of advances, shortfall, damages and penalties etc. are fulfilled.
9. Ensure all information is collected for preparation of Annual Budget and Revised Budget along with all supporting documents before 31st January every year.
10. Ensure annual audit requirements are provided by the respective accountants to auditors before 31st May of every year and satisfy all audit queries.
11. To attend all meetings and discussions relating to accounting and financial transactions of the Trust.

10.2.3 Role in respect of Procurement Manager

1. The Procurement Manager is responsible for all purchases, indents, sales/auction, comparative analysis, stock maintenance, and condemnation.

2. Empanelment of suppliers and vendors that meet the goals of the institute.
3. Find suppliers that have certifications, accreditation, and insurance, along with a steady stream of materials that fit within budget restraints.
4. Inventory Management
5. Balance department budgets with needs under specific HoDs.
6. Forecast needs and supplies
7. Review requests for proposals (RFPs)
8. Review and negotiate contracts with vendors and suppliers for comparative study.
9. Developing and maintaining a vendor base for a cost-efficient procurement of inventory
10. Stock verification and maintenance.

10.2.4 Manager Facilities & Estates

Role in respect of Facilities:

1. The Facilities Manager is responsible for supervising the Hostels, Security, Housekeeping, and Transport and other facilities of the Institute.
2. Overseeing the daily administrative operations of all facilities.
3. Instructing wardens on the best practices to maintain discipline inside and outside the hostel and institution premises.
4. Overseeing the closure of projects within the approved budget
5. Supporting a strategic objective by driving cost cutting initiatives
6. Ensuring availability and utilization of resources in areas like transport, canteen and waste disposal
7. Overseeing communication and security frameworks within the facility
8. Ensuring that the above facilities meet local and industry-specific safety guidelines
9. Performing regular inspections to ensure the facilities are functioning correctly
10. Negotiating annual maintenance contracts and renewing insurances for maintenance
11. Maintaining records of the facility, including maintenance bills and payment information.

10.2.5 Role in respect of Estates

1. The Estates Manager is responsible for securing all properties of PVP Welfare Trust from encroachment and other interference.
2. Supervises all constructions from their conception and design to completion of execution.
3. Attends to all maintenance of building and other civil works and undertakes immediate repairs wherever necessary.
4. Responsible for all Tax payments and management of litigations.
5. Liaise with all state, and local authorities like BBMP, BESCO, BWSSB, BDA, etc., and ensure that all works run smoothly.

10.2.6 Manager Public Relations & Events.

Role in respect of Public Relations:

1. Public Relations Manager is the Public face of the Institution and is responsible for all work relating to public relations at the Institute level.
2. Build strong connections with government agencies and other Institutions.
3. Manages, coordinates and executes public relations activities at the Institute to promote a positive image.
4. Manage, print, broadcast and news media advertising campaigns of the Institution.
5. Supervise production, delivery, distribution and payment for Institution publications such as college catalogs, printed program brochures, news and other media reports.
6. Distributes news releases on important Institute information and events; updates and maintains Institutions calendar of events.
7. Coordinates with media persons and reserves advertising space with appropriate media outlets; creates and maintains integrated campaign spec sheets.
8. Proofreads print and broadcast copy for grammatical and typographical errors.
9. Arranges photo shoots with professional photographers and provides digital photography for publications. Arranges to record special events; maintains photo archives; coordinates mass-mailings of weekly/daily internal newsletter and other special mailings.

10. Instruct and follow up with website coordinator for timely updating.

Role in respect of Organising Events:

Dr. AIT organizes many important events at the Institution level every year. These are apart from programs organised at the Department level. Events Manager would be responsible for events organised at the Institution level only.

1. He/She would fix up the date of the event in Consultation with the Administrator Principal.
2. Prepare the Auditorium/any other specified place with necessary requirements.
3. Invite the guests in Consultation with the Administrator and Principal.
4. Look after the Hospitality arrangements.
5. Procure all other materials required for the Occasion and keep them ready.
6. Attends to all other requirements under the supervision of the Administrator/Principal to make the programme a grand success.

10.2.7 Superintendent and Assistants

1. Every manager shall have as many superintendents and assistants as required for the efficient discharge of the workload of that charge. He will allot the work among section superintendents and assistants within his charge.
2. The Superintendent will be generally responsible for the efficient discharge of the work under his/her charge.
3. The assistants being the point of first contact will prepare files, study the subject, put-up notes, recommend action, and send the file to the section superintendent. The superintendent will study the file, examine the legality and the feasibility of the action suggested, add his own assessment, and send the file on to the manager who will either dispose of the file at his end or send it on to the administrator with his comments.

10.2.8 Duties & Responsibilities of Helpers / Attenders

Helpers who are renamed as Attenders in this manual are a very important wing of the Institution. Much of the reputation of the Institution is dependent upon

their personality, conduct and work. In view of this the attenders should conduct themselves with dignity and decorum at all times. The following are their duties:

1. Responsible for opening, securing and closing of the Department office, HOD Room, Faculty Room and Classrooms each day.
2. Ensure the cleanliness and upkeep of the Department's laboratories, classrooms, faculty rooms and HOD room.
3. Provide assistance to the HOD, faculty members and students as needed.
4. Submit the staff and faculty attendance register to the Principal's office before 9:15am and collect the same after 4:20pm on all working days.
5. Inform the HOD of any incidents or events happening within the department.
6. Perform any other tasks assigned by the HOD to ensure the smooth operation of the department.
7. Assist with photocopying tasks for the HOD and faculty members.
8. Coordinate hospitality arrangements for guests and faculty members, as directed by the HOD and faculty.
9. Ensure timely circulation of all college and department level circulars to all concerned.

SECTION 11: DISCIPLINARY ACTIONS

Dr.AIT reserves the right to initiate appropriate disciplinary action on any of its employees within a standard framework that guarantees the reasonable rights of employees.

Competent authority to initiate disciplinary proceedings and impose penalties

The Trust is the competent authority to initiate disciplinary proceedings and impose penalties on the Teaching staff and the Principal is the competent authority to act in the similar manner in respect of non-teaching staff, according to the nature of the misconduct.

11.1 Misconduct

Any violation of the Rules and regulations of the Institution is misconduct, which needs to be corrected through disciplinary action by the management. Some of the possible deeds of misconduct are listed below which of course is not exhaustive:

- Dereliction, non-performance or negligence of duty
- Irregular attendance, absence without leave or overstay after sanctioned leave, habitual late attendance.
- Willful insubordination or disobedience, whether alone or in combination with others, to any lawful and reasonable order of a superior.
- Theft, fraud, or dishonesty in connection with the Institution's work or property
- Refusal to go on transfer or deputation, refusal to accept a new work assignment or workplace from competent authority
- Willful damage to or loss of the Institution's goods or property
- Engaging in any trade, profession, or business falling outside the scope of his duties except with prior permission of the management
- Giving or demanding or accepting bribes or illegal gratification to and from any constituent or stakeholders
- Riotous or disorderly behavior during working hours at the institution
- Engaging personal work or work of another organization during duty hours

- Acts of misconduct outside working hours that negatively affect day to day work of Dr.AIT or its reputation. Inebriated, riotous, disorderly, or indecent behavior on office premises or during official tours and engagements outside the office
- Threatening, abusing, assaulting, or harassing any other employee or partner
- Disclosure to external parties of any confidential information
- Refusal to accept any official communication in writing
- Misrepresentation of qualifications or information of any kind at the time of employment or thereafter
- All forms of harassment including sexual harassment
- Use of abusive/indecent language in office and indecent and unkind behavior to the beneficiaries and stakeholders of the organization, especially the poor, vulnerable, and differently abled.
- Falsification of records, misappropriation
- Breach of any rule, regulation, direction or instruction for carrying on the business or administration and pursuing any course of study without proper sanction from the authorities.
- Abetment or instigation of any of the acts/omissions aforesaid
- Making false/malicious complaints against any employee to a higher authority
- Refusal to perform any emergency duty during or beyond the usual working hours or on holidays, ignoring orders from the superior.
- Misuse of mobile phones for taking photos without permission/using Bluetooth or any other mechanically available devices.
- Causing monetary loss to the Institution
- Any association with organization or institution that is involved in activities which are recognized as anti-national or terrorist.
- Any other act, which constitutes an offence under any Government law or regulations
- Conviction by a court of law for any offence involving moral turpitude
- Any act subversive of discipline or good behavior either on the premises of the Institution or elsewhere, including at residential premises if provided by the management
- Habitual breach of any law applicable to the institution
- Any breach of provisions under the rules.

11.2 Harassment

Dr.AIT Management is committed to provide a work environment free from all sorts of intimidation or offences which might interfere with an individual's dignity or work performance and as such no act that tampers with the integrity and honor of employees will be permitted and tolerated. Harassment based on caste, race, color, region, religion, gender, age, sexual orientation, nationality, disability, medical conditions, marital status etc. will not be permitted in the workplace.

11.3 Sexual Harassment

Sexual harassment in the workplace will be considered with all seriousness that it deserves and Dr.AIT is committed to the Constitutional rights of women to honor and equity, provisions of the Indian Penal Code on outraging the Modesty of Women, relevant Acts in force, and the directives of the Supreme Court regarding sexual harassment in the workplace.

Sexual harassment includes actions such as annoying sexually determined behavior whether directly or by implication like

- a. Physical contact and advances
- b. A demand or request for sexual favors
- c. Sexually colored remarks
- d. Showing pornography
- e. Harassment through internet, email, chatting, forwarding obscene material, telephone messages/SMS and calls

All such acts will come under the purview of disciplinary action by the management if it affects the working environment, Infringes on the honor of the employee or disturbs the peace of mind of an employee.

It shall be the duty of the management to prevent or deter acts of sexual harassment and to provide the procedure for the resolution, settlement, or prosecution of acts of sexual harassment by taking all steps required.

If anyone is found guilty of the above act, the same will be considered and disciplinary action will be initiated against the offender as per the Rules.

Where such conduct amounts to a specific offense under the Indian Penal Code or under any other law, the management shall initiate appropriate action in accordance with the law by making a complaint with the appropriate authority.

11.4 Staff Responsibility

All Employees of Dr.AIT have a responsibility for

- a. Keeping workplace and official tours free from harassment and creating an open and supportive environment in which all staff feel safe and comfortable enough to report any incidents of harassment to the HOD/Administrator.
- b. All the employees who have some sort of supervisory role in the organization are to restrain themselves from harassing subordinate employees using their supervisory role.
- c. All employees who have become victims of any sort of harassment or have reasonable apprehension on the motive and move of a staff colleague are obliged to report the matter to the competent authority.
- d. Any employee who becomes aware of any potential incident of harassment, either by
 - a. witnessing the incident,
 - b. being told of an alleged incident,
 - c. being the object of an incident, is strongly encouraged to report it to the management. This obligation is not optional and is based on Dr.AIT's legal obligation to take prompt and appropriate action. As such, Dr.AIT will hold accountable all HODs who fail to take this responsibility seriously.

11.5 Investigation Procedures

- a. Dr.AIT will process all complaints regarding harassment through approved procedures and with respect to due process. Investigation into the above will be handed over to the Grievance Redressal Committee.
- b. Investigation on complaints of harassment should be conducted in an objective and unbiased manner. The investigation should be completed within 10 days of receiving complaints.
- c. The employee who is accused of harassment will have the right to defend himself/herself.

- d. The victim will have the option of not pressing the complaint provided the management has sufficient reasons to believe that the work atmosphere will not be disturbed further. However, the management will proceed with penal action if the allegation is criminal.
- e. Management should make every effort to establish and maintain the feeling of security, privacy, and confidentiality of the object of the alleged incident. Management needs to advise employees, though, it may not always be able to guarantee confidentiality, on how the investigation and any follow-on actions progress.
- f. If the object of the alleged incident feels comfortable submitting their report in writing, then they should be encouraged to do so. If they do not feel comfortable doing this, then the investigating team designated for each case should document their verbal discussions with the staff person, and then run it past them to make sure that they fully understand all details of the alleged incident.
- g. Upon completion of the investigation, if it is determined beyond a reasonable doubt that an employee did commit an incident of harassment, Dr.AIT will take immediate and decisive action, as per the procedures outlined in this manual and the disciplinary action can include termination of employment. At the same time, if it is determined that any employee filed a complaint of harassment while knowing it to be false or untrue, that employee will also be subject to the same disciplinary action.

11.6 Grievance Procedure

- A Grievance Redressal Committee is to be set up in the Institution to address the grievances of the employees. The Grievance Redressal Committee will consist of at least three members of staff with representation from both genders. The Committee will be a permanent arrangement for in-house investigation to handle grievances of employees. The Chairperson of the Committee will be appointed by the Principal.
- Any employee who feels that he/she is unjustly treated; in the discharge of his/her duties either by the Management or by a colleague or a subordinate may submit such grievance in writing to the Chairperson of the Redressal Committee. Such grievance shall be duly considered by the Grievance Redressal Committee.

- The first step in Grievance Redressal shall be a verbal report by the aggrieved employee to his/her immediate superior who should listen to the employee, collect the relevant facts, and try to settle the grievance. He/she should also seek a verbal explanation from the person against whom the complaint is directed. Thereafter, he/she should in all cases submit a report in writing, particularly where the alleged grievance is not settled. The same is forwarded to the management.
- If the employee who has lodged the grievance is not satisfied with the decision of the Committee, thereafter he/she may approach the principal for redressal. It is only on exhausting this procedure that an employee may appeal to the Trust which should take necessary action.
- This procedure has been specifically provided so that disputes and differences, if any, are mutually and amicably resolved within the organization as if within a family.

11.7 Consequence of Misconduct

Offences aforesaid can invite penal action ranging from suspension to dismissal depending on the gravity of the offence. The following steps are to be taken with regard to disciplinary actions.

- I. **Verbal Warning:** For a minor offence, a verbal warning will be issued in a formal meeting among the employee, HR Manager, HOD, Principal. The record of the warning is prepared and retained on the personnel file of the employee.
- II. **Written Warning (Memo):** If the administration has sufficient grounds to believe that verbal warnings are not heeded or if the administration is satisfied that prima facie the employee is guilty of serious misconduct the principal or at his direction the Administrator has to issue written warning specifying charges and asking the employee to show cause why disciplinary action should not be initiated against the employee.
- III. If the reply of the employee is found unsatisfactory or if the administration is convinced that the conduct of the employee stands unchanged or is likely to be detrimental to the interests of the organization, the employee will be placed under suspension pending enquiry by the enquiry committee constituted for the purpose provided however, that no such

enquiry will be necessary if the employee concerned admits the charges in writing.

- IV. If the employee does not answer the show cause notice in writing within a reasonable period (maximum 7 days), it will be presumed that he/she has no explanation to offer, and will be proceeded against.

11.8 Suspension

- i. On receipt of a report in writing from the Principal/ HRM, the competent authority may suspend an employee for any act of alleged misconduct, pending domestic enquiry.
- ii. The order of suspension shall take effect immediately on its communication to the employee. Charge memo should be given within 7 days.
- iii. Leave will not be granted to an employee under suspension.
- iv. During the period of suspension, the employee shall not leave the station except with the written permission of the principal.
- v. A suspended employee will get a subsistence allowance of 50% of the salary for a maximum period of 6 months subject to the condition that he/she does not take up any employment during the suspension period.

11.9 Domestic Enquiry

No order of punishment shall be made without the employee having been given an opportunity to explain to the satisfaction of the management the circumstances alleged against him/her. Accordingly, a charge memo will be issued calling for the explanation of the delinquent employee. In the event the management is not satisfied with such an explanation; an enquiry officer will be appointed who will be required to conduct the domestic enquiry.

11.10 Punishments

Upon completion of the inquiry and in the event of the employee being proven to have committed the offence, the punishment will be awarded according to the gravity of the offence, including maximum penalty, in which the concerned staff will be dismissed from service. The likely orders of punishment are:

- ◆ Withholding of Increment (Cumulative/without cumulative effect.)
- ◆ Barring of Promotion
- ◆ Demotion to a lower grade
- ◆ Dismissal.

11.11 Right to Appeal

Any employee aggrieved by the decision of the principal may file an appeal in writing to the Trust within 1 month of the date of the decision. The Chairman has the option to appoint a fresh committee to review the penal action. The decision of the Chairman of PVP Welfare Trust shall be final and binding.

11.12 Termination of Services

11.12.1 Medical Grounds:

During the ongoing employment period, Management retains the right to terminate the services of any employee by giving 3 months' notice in writing or 3 month's pay in lieu, on medical grounds. (E.g. continuous illness of an employee for more than 6 months in a year or due to physical or mental disability as certified by a medical practitioner appointed by the Organization).

11.12.2 Termination on Disciplinary Grounds

During the ongoing employment period, management retains the right to terminate the services of an employee on grounds of violation of discipline.

11.12.3 Termination on Grounds of Judicial Conviction / Observation

Notwithstanding anything contained in these rules, the competent authority may impose any of the penalties specified hereinabove if the staff member has been convicted on a criminal charge or on the strength of facts, conclusions, or comments arrived at by a judicial trial.

11.12.4 Termination for Prolonged Absence

When a staff member is absent from work for Fifteen days (15) or more without submitting any application for leave or its extension or beyond the period of leave sanctioned originally/subsequently or when there is satisfactory evidence that he/she has taken up employment elsewhere or when the management is reasonably satisfied that he/she has no intention of

joining duties, the Management may at any time thereafter issue a show-cause notice stating, inter-alia, the grounds for concluding that the staff member has no intention of joining duties and furnishing available evidence. Unless the staff member can respond with explanations satisfactory to the Management within the period stated in the notice, the staff member shall be deemed to have been terminated from the service of Dr.AIT.

11.12.5 Premature Termination of Contract

In the event of premature termination of the contract, one month's notice in the form of a letter will be given to the Contract Staff Member.

11.12.6 Termination on grounds of non-performance

The management reserves the right to terminate the services of a staff member for the following reasons other than matters of discipline:

- i. If a staff employed based on a particular expertise or skill or qualification is found not to possess such expertise or skill or qualification.
- ii. For any reason whatsoever a member of staff becomes under qualified consequent to changes in the policies of and/or the guidelines issued by the Government, or the authorities concerned from time to time. If a staff member, for three consecutive years in the annual appraisal of his performance, has received ratings "unsatisfactory" or "average" and despite the appraisal reports of the first two years having been communicated to him there has been no improvement or insufficient improvement in his/her performance.

11.12.7 Notice Period

In the case of Resignation/Termination, the notice period in the appointment order holds good. For staff on probation seven days' notice by either party is necessary for voluntary separation by the staff or the management opting to terminate the service of the staff. The notice period may be waived by payment of seven days salary in lieu of failure to give sufficient notice from the part of Management or by surrender of seven days salary by the staff in lieu of notice period. For all staff confirmed in the service one-month notice from either side is mandatory for all premature separation.

11.12.8 Resignation in the wake of Disciplinary Proceedings

- I. A staff member against whom disciplinary proceedings are pending shall not resign from the service in Dr.AIT without the prior approval in writing from the Administrator and any notice of resignation given by such staff before or during the disciplinary proceedings shall not take effect unless it is accepted by the Administrator.
- II. Staff member against whom disciplinary proceedings have been initiated will cease to be in service on the date of superannuation but the disciplinary proceedings will continue as if he was in service until the proceedings are concluded and final order is passed in respect thereof.

11.12.9 Superannuation during Disciplinary Proceedings

The staff concerned will not receive any pay and/or allowance after the date of superannuation. He/she will also not be entitled to payments of retirement benefits till the proceedings are completed and the final order is passed thereon, except for his/her contributions to the provident fund. Such disciplinary proceedings shall be completed within six (6) months from the date of superannuation.

11.12.10 Death

In the event of an employee's death, the immediate next-of-kin shall intimate the death to the Administrator. The Next-of-kin shall submit a copy of death certificate for the payment of dues of the deceased. The final pay settlement will include their total monthly compensation for that month, and other payments due, will be made to the employee's designated nominee after deduction of the applicable items.

11.12.11 Documents to be submitted on Separation from Dr.AIT

In the event of separation from Dr.AIT, the following documents are required to be submitted by the staff:

- In case of resignation, letter of resignation

- Non liability certificate
- ID card issued from the Dr.AIT
- Details of documents kept in the custody of the person both hard and soft copies and list of the pending work as on date
- Other properties of Dr.AIT in the possession of the individual
- Exit report.

Dr.AIT must provide experience certificate/service certificate to staff in the event of his/her separation on his/her written request. However, Dr.AIT retains the right for withholding certificates in situations including, but not limited to, failure on the part of staff to return to Dr.AIT its property or reconcile all outstanding payments, failure of the staff to produce the non-liability certificate/No dues certificate.

11.12.12 Exit Interview

The exiting staff member shall generally be required to participate in a face-to-face exit interview and submit the exit interview form duly filled on or before the last day of employment. Exit interviews shall be conducted with departing staff before they leave. Exit interviews will provide useful information about the organization, to assess and improve all aspects of the working environment, culture, processes and systems, management, and development. The exit interview form shall be analyzed and corrective action devised. If necessary, policies, procedures, and other aspects of Human Resources Management (HRM) shall be examined. The exit interview shall be coordinated by the Administrator. The exit interview shall be recorded in the outgoing staff member's personal file. The management shall critically analyze the exit interview forms filled in by staff members who have separated, and feedback should lead to appropriate follow-up action.

11.12.13 Professional Demeanor of Dr.AIT Employees

All employees are expected to always present a professional appearance. They are to conform to the standards of Professional attire most common to the location of their job and site assignment.

SECTION 12: GENERAL POLICIES

12.1 Monitoring & Evaluation

Dr.AIT needs to reflect on and review its HR practices from time to time, to ensure that systems remain robust, flexible, consistent, and relevant to the organization's needs, mission, values, principles, and culture.

12.2 Policy Practice Compliance Audit

Policy practice compliance will be assessed through regular, structured HRM audits.

- Reviews will be conducted once every three years. Review teams may include peers from within Dr.AIT, including senior staff members, relevant staff members from partner organizations, external experts on HR, or relevant members from like-minded organizations.
- These reviews shall be consistent with accountability, learning, and planning processes.

12.3 HR Information System

The Administrator will maintain effective staff data systems through a database. Such data will have to be disaggregated by gender and diversity. The report generated by staff data systems will be used proactively by the Administrator to analyze trends and to improve and refine systems and practices.

Besides gender and diversity at all levels, data systems will record staff training and development activities and their impact, performance review records, staff attitude surveys, grievances, recruitment, and staff turnover analysis, and staff casualty together with data that meet local needs such as leave usage trends, organizational age index, the ratio of Human Resource Organization Development (HROD) staff to overall staff, functional staffing ratios and staff support costs.

12.4 Conflict of Interest

- A conflict of interest could be defined as a situation that arises when a decision-making authority is seen to have a personal stake in the outcome of the decision itself. This policy covers various situations that a Dr.AIT employee may face in the areas of financial control, personal integrity,

conflicts etc. and the role which they should play in such circumstances. This policy provides a common code of conduct, which should be adhered to by all Dr.AIT employees.

- The activities of Dr.AIT employees must be lawful and free of conflicts with their responsibilities. They are not to misuse Dr.AIT resources or influence or discredit the good name and reputation of the organization.
- It is the policy of Dr.AIT that no employee shall take any action or make any statement intended to influence the action of another, including donors and beneficiaries, to benefit the private interest of the employee or the employee's family members, rather than the interest of the Dr.AIT.
- Employment of Relatives: No staff member shall use his position or influence directly or indirectly to secure employment for any person related, whether by blood or marriage, to the employee or to the employee's wife or husband, whether such a person is dependent on the employee or not.
- No staff member shall, in the discharge of his/her official duties, knowingly enter into, or authorize entering into, by or on behalf of Dr.AIT any contract, agreement, or arrangement of any kind with any relative of the staff member, with any person/body with which the staff member or his relative is employed, or with any person/body in which the staff member has an interest. The staff member shall inform the Administrator of such facility, proposal, contract, agreement, or arrangement, which shall thereafter be dealt with or disposed of according to the Administrator's instructions.
- The following are to be avoided in the best interest of the organization.
- Soliciting subcontractors and vendors for donation/advertisements to a charity, in which the employee is involved.
- Using Dr.AIT facilities for personal purposes or for spouse's/relative's business.
- Treating personal expenses/trips as official expenses/trips.
- Making a promotion decision about a spouse or relative.
- Authorization of self in case of leave, travel advance, etc.
- Buying equipment from suppliers for personal use at high discounts in the name of Dr.AIT
- Using the buying power of Dr.AIT to acquire goods or services for the benefit of the employee or his/her family members.

- No employee may solicit or accept, directly or indirectly, any gift, gratuity or favor that has substantial economic value, where either party could infer any obligation.
- All offers of donations to Dr.AIT must be directed to the Administrator who will accept them on behalf of the agency.
- No employee shall authorize for use by Dr.AIT any product or service furnished by a firm in which the employee or the employee's immediate family members has a financial interest.

12.5 Consumption of intoxicating drinks and drugs

Dr.AIT's work places must be drug-free, and all staff members shall strictly abide by any law relating to intoxicating drinks or drugs in force in all the workplaces of Dr.AIT. The staff also must see that

- He/she takes due care that the performance of his/her duty is not affected in any way by the influence of any intoxicating drink or drug.
- He/she does not appear in public places in a state of intoxication.
- He/she does not habitually use any intoxicating drink or drug.
- Smoking is strictly prohibited in the campus. All employees of Dr.AIT must adhere to the law prohibiting smoking in public places.

12.6 Amendments

These rules and regulations may be amended, altered or rescinded at any time by the Governing Body or other PVP Welfare Trust. Amendments if any shall be communicated to all employees by a notice issued by the Administrator in this regard.

12.7 Jurisdiction

All disputes related to these rules may be deemed to come under the jurisdiction of the courts of law in Bangalore and hence the organization may sue and be sued only within the jurisdiction of the above-mentioned courts of law.

This revised and amended administrative manual is deemed to be in force from 1st January 2025 unless otherwise mentioned in any specific clause.

SECTION 13: FINANCIAL POLICIES AND PROCEDURES

13.1 Need for Policies and Procedures

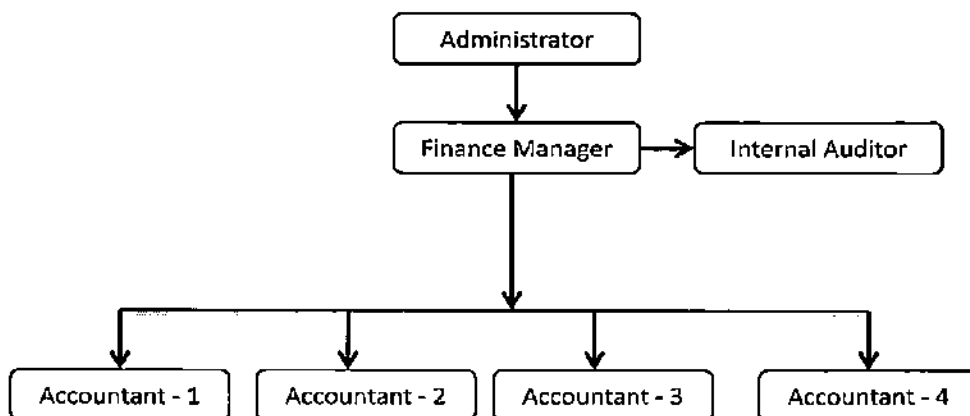
This new financial policies and procedures manual is aimed at bringing uniformity in the understanding and implementation of the accounting and other procedures to achieve the common goals of the Trust.

The policies and procedures of the Trust are aimed at bringing high standards of integrity, transparency, and accountability among the stakeholders of the Trust. They are:

- a. Ensure accuracy and efficiency in accounting and record keeping.
- b. Ensure that appropriate internal controls are established which are designed to protect key assets, prevent misuse of resources, and guard against any impropriety.
- c. Enable the Trust to close books of accounts and produce financial statements and other management reports.
- d. Provide past accounting records for comparative study, benchmarking, and other management needs.
- e. Invest and monitor resources available in a proper manner for delivering the Trust's mission and bringing efficiency to the operations to make good and quick management decisions.
- f. Comply with various rules and regulations governing the operations.

For each of these reasons, it is essential to have sound policies and procedures that are recorded in a written document. These policies are to act as a guide to the management and officials dealing with the activities. They also can help as an internal reference document for clarifying common understandings or articulating internal principles (e.g. organizational ethics), and ensure compliance with statutory laws (e.g. Income Tax, PF, ESI, etc.).

13.2 Finance Department and its Structure



13.2.1 Administrator

The administrator is the head of the Administration of the college. As far as the finances of the institution are concerned, the Administrator is responsible for the approval and payment of bills as per the delegation matrix. He is responsible for signing the cheques concerning recurring regular payments (Additional signatures of the Principal/Secretary may be required as per the delegation matrix).

The following are the broad duties and responsibilities of the Administrator regarding the finances:

- a. To review, monitor, and approve all day-to-day administrative and financial transactions as listed in the delegation matrix.
- b. To implement the decisions of the Trust, Managing Committee, and Secretary on administrative and financial matters of the Trust.
- c. Administrator should verify the accuracy and correctness of the expenditure before any bill is passed.
- d. He/she is to approve the payments as per the delegation matrix only after ensuring that applicable GST, TDS, etc., are complied with.
- e. To review all expense category wise and identify the increases in cost with reasons and submit a report to the Trust before 30th April of every year.
- f. To consult the budget before approving any bill for payment.

- g. No expense can be approved by the Administrator that is more than what is allocated in the budget without the approval of the Secretary.
- h. To sign cheques with one of the joint signatories.
- i. To be responsible for obtaining the approval of the Secretary, wherever necessary.
- j. To provide information sought by the Secretary on a timely basis.
- k. To ensure preparation and submission of the Annual Budget and Revised Budget before 31st January every year.

13.2.2 Finance Manager

The Finance Manager is responsible for all the accounting and financial transactions of PVP Welfare Trust.

The following are the duties and responsibilities of the Finance Manager:

- a. The Finance Manager will ensure that all transactions are accounted for on a timely basis.
- b. Accountants should report to the Finance Manager and ensure that the work allocated by the Finance Manager is completed forth with.
- c. To ensure that revenues such as Tuition fees, admission fees etc. are collected and accounted on daily basis.
- d. To ensure Student Wise Scholarship details are recorded and Bank Reconciliation is done on monthly basis for all bank accounts.
- e. To ensure expenses incurred are supported by vouchers and approved for further documentation and payments.
- f. To ensure that all documents such as Bank Statements, Expense Vouchers, Statutory Paid Challans, Bills, Invoices etc. are filed and submitted as and when asked for.
- g. To ensure details of information, clarifications, requests from the Management are provided within a reasonable period of time.
- h. To ensure that payment files are forwarded to the concerned authority for approval after ensuring all statutory compliances and adjustment of advances, shortfall, damages and penalties are complied with.
- i. To ensure all information is collected for preparation of Annual Budget and Revised Budget along with all supporting documents before 31st January every year.

- j. To ensure annual audit requirements are provided by the accountants to auditors before 31st May of every year and to satisfy all audit queries.
- k. To attend all meetings and discussions relating to accounting and financial transactions of the Trust.

13.2.3 Internal Auditor

The Internal Auditor is responsible for verification of all the financial and accounting transactions of the Trust. The Finance Manager, before forwarding the bills to the Administrator for payment, will get them verified and approved by the internal auditor.

The following are the duties and responsibilities of the Internal Auditor:

- a. All transactions should be verified by the internal auditor before they are submitted to the administrator.
- b. No payment should be processed without the verification of the internal auditor.
- c. Internal Auditor to ensure that all the transactions are as per the policies and procedures laid down in this document.
- d. To verify all data before it is submitted to the Secretary and the Board of Trustees.
- e. To ensure that all statutory compliances such as TDS, GST, P.F, E.S.I etc. are fulfilled.
- f. To ensure that all internal controls are always functioning and report in case of any lapses.
- g. To verify and reconcile the revenues of all institutions under the Trust.
- h. To coordinate and assist in statutory audits, Government audits from agencies such as AICTE, VTU and State Audit Department etc.

13.2.4 Accountants

The following are the duties and responsibilities of the accountants:

- a. All revenues such as Tuition fees, and admission fees must be collected and accounted for on a daily basis.
- b. Student Scholarship details should be recorded as and when received and Bank Reconciliation is done every month.
- c. Before making any payment, the concerned documents are to be verified, and transactions are recorded.
- d. File documents such as Bank Statements, Expense Vouchers, Statutory Payment Challans, Bills, Invoices, etc., and submit them as and when asked for. To provide all information relating to the Annual Budget and revised Budget before 31st January every year.
- e. To provide all annual audit requirements to the auditors before 31st May of every year and satisfy all audit queries.

The above details summarize the policies and procedures that set detailed guidelines for financial transactions and assist in ensuring the orderly and efficient management and control of all resources, and proper accountability. They ensure effective financial control over assets, liabilities, funds, and expenditures together with the systems required to account for the financial operations of the programs.

In specific terms, the policies and procedures are designed to:

- i. Promote orderly, efficient, and effective operations consistent with program objectives.
- ii. Minimize, prevent, and detect frauds and errors.
- iii. Ensure the accuracy of the accounting records.
- iv. Facilitate timely preparation of financial records and ensure that financial statements are fairly and accurately presented.
- v. Safeguard assets, and ensure compliance with applicable laws, financial policies, and regulations.

13.3 Finance Department and Its Overview

The Finance Department is responsible for preparing, reviewing, and recording all financial transactions of the institutions under the Trust after obtaining the approvals as per the delegation matrix.

It is also responsible for preparing Budgets, MIS Reports and the Trust's consolidated annual financial statements on a regular basis and get them certified by an independent Chartered Accountant's Firm.

a. Setting up of Chart of Accounts

The chart of accounts is the framework for the general ledger system and therefore is the basis for any accounting system whether it is in ERP-based software or otherwise. The chart of accounts consists of the chart of accounts code, ledger name, group name, and description.

b. Control of Chart of Accounts

The chart of accounts is monitored and reviewed by the internal auditor regularly. The internal auditor recommends the creation, modification, and deletion of a chart of accounts, and it will be approved by the Finance manager. The chart of accounts should always be consistent with the organizational structure of the Trust and meet the needs of each division and department.

c. Annual Review and Cost Control

As part of the cost control mechanism, all major heads of expenses must be reviewed on a quarterly basis to make course corrections. The Administrator must carry out an annual review of expenses for all categories, identify the increases in cost with reasons and submit the report to the Trust before 30th April of every year.

d. Annual Budget and Interim/Revised Budget

Annual and Interim/Revised budgets are to be prepared after taking inputs from the user departments and consolidating at the institutional level.

Budgets are to be prepared at the Institution level and once institution-level budgets are approved by the head of the institution, annual interim and

revised budgets are prepared consolidating the budgets of each individual institution and submitted to the Trust for final approval.

Annual budgets should be reviewed by the appropriate authority before submission to the Board of Trustees. Budgets are generally formulated to ensure that Incomes and expenses are as per plan and expenditures are regulated. The detailed budgeting process is covered in Part C of the manual.

e. General Accounting and Bookkeeping

Currently, Tally Software is used to record all accounting transactions starting from Revenue receipts, Payments to Vendors, Expense payments, Imprest Cash Transactions, recording of assets and liabilities, and passing Journal entries for closing the books of accounts. Tally Software is an internal control mechanism with self-balancing sets of accounts in accordance with generally accepted accounting principles and procedures.

The general accounting and bookkeeping are to start with the budget approved by the Trust for all its institutions. All the institutions under the Trust must follow the budget and comply with this manual and with the chart of accounts applicable in line with the generally accepted accounting principles.

f. Distribution of Chart of Accounts

The approved chart of accounts should be circulated to all the institutions of the Trust. On revision, the revised chart of accounts is to be shared with the respective institutions by the Finance manager.

g. Financial Year of the Organization

Currently, the financial year begins on 1st April and ends on 31st March.

13.4 Financial Management

13.4.1 Revenues

The institution earns revenue from the following sources:

13.4.2 Fees from Students

Fees collected from students on account of tuition fees, student activity fees, placement fees etc. are the major revenues received by the institution. These fees are broadly classified as below:

- i. Recurring Fees
- ii. Non-recurring Fees (Event-Based)

13.4.3 Recurring Fees

Recurring Fees include Tuition fees, student activity fees, placement fees, exam fees, etc.

The above fees are collected in 2 methods –

- Online method through Bill Desk
- Offline challan method

Online fees are collected as detailed below:

The procedure for accounting tuition fees is as below:

- The accountant prepares a list of students containing Student USN (Unique Student Number), Course name and fees to be collected and sends it to the Finance manager for approval.
- The Finance Manager verifies the list and ensures that the list covers all the students who are liable to pay fees for the academic year and verifies the accuracy of the amount of fees to be collected from each student.
- After the Finance Manager approves the list, the approved list is forwarded to the internal auditor to verify and forward the same to the principal for approval through the Administrator.
- After the Principal's approval the list is uploaded to the Bill desk portal for the students to make payments.
- The accountant will verify the daily receipts from the students and prepare a reconciliation statement every month. The amount of fees credited to the designated bank account is reconciled with the fees collected report generated from the Bill desk portal. This ensures that all

fees that are said to be received through the bill desk are received at the bank.

- Post reconciliation, fees are to be accounted in tally on a daily basis as well as year wise on the same day.
- The monthly reconciliation statement along with fees received report generated from bill desk is to be forwarded by the Finance Manager to the Internal Auditor and after verification of the Internal Auditor to the Administrator.
- Signed copies of the reconciliation statements are to be filed and retained in a separate file and should always be available for verification.
- Accounting entries are to be passed as per the chart of accounts as below:

Account Classification	Sub Account Classification	Account Title	Account Code	To Increase
Assets	Current Assets	Balance with Banks	13001	Debit
Income	Direct Income	Tuition Fee	31001	Credit

Fees collected through the offline challan method are detailed below:

- The student who opts to pay through offline challan visits the fees counter collects the challan for the amount due and submits the challan to the bank.
- The challan has 3 copies. One copy is retained by the student, one copy is submitted by the student to the institution, and one copy is retained by the bank.
- The Finance department will verify the copy of the challan provided by the student with the credit reflected in the designated bank account along with the bank copy of the challan.
- The Finance Manager will verify the list of fees collected from students through offline mode and reconcile it with the bank credit.
- After reconciliation, fees are to be entered in tally separately year-wise on the same day.
- The monthly fees collected list is to be forwarded to the Internal Auditor for verification along with the accounting entry.

- Signed copies of the said documents are to be filed and retained in a separate file which should always be available for verification.

13.4.4 Development Fees (Trust)

- Development fees are fees collected from students of Dr.AIT including NRI students.
- At the beginning of the academic year, the Trust decides the development fees for each course of PVP Polytechnic and Dr.AIT
- The approved fee for each course must be collected by the Accounts section through Demand Draft (D.D).
- The collected DD must be deposited by the accountant in the designated bank account. A suitable entry should be passed in the books of accounts.
- The Finance Manager would verify the list of students who have paid the development fee and reconcile it with the bank credit.
- The monthly fees collected list should be forwarded to the Internal Auditor to verify along with the accounting entry.
- Accounting entries are passed as per the chart of accounts as below:

Account Classification	Sub Account Classification	Account Title	Account Code	To Increase
Assets	Current Assets	Balance with Banks	13001	Debit
Income	Direct Income	Tuition Fee	31001	Credit

13.4.5 Non-recurring fees (Event-Based)

Non-recurring fees are event-based payments where a student will pay the fees for a particular purpose or an event such as PhD Fees, Registration Fees, Student's Verification Fees, TC, Fine Collections, ID Fees, Student Certificate Fees, Application Form Fees, Recovery Fees etc.

The following is the Procedure for the collection of non-recurring fees from students:

The student may visit the fees counter at the college and pay any of the non-recurring fees obtaining a Challan; No cash will be collected at any time.

- Since the amounts generally are small, the student may opt to pay at the counter through QR code/ IMPS/ NEFT etc.
- Before issuing manual receipts, the accountant should ensure that the non-recurring fees are credited to the bank account. These manual receipts are to be serially numbered and should be unalterable.
- The monthly reconciliation of fees collected as per receipts issued to students manually and fees collected in the bank account are to be forwarded to the Finance Manager and the Internal Auditor for their verification and approval.
- In case of any differences between fees collected and receipts issued, the difference should be recovered from the respective accountants.
- It should be ensured that in the case of one-time fees, the user department should consider the same only upon the production of the receipt issued by the Finance Department to the user department. For example, in the case of fine collection, the hall tickets are to be issued to students only after producing the fine paid receipt to the user department.
- The signed reconciliation statements as detailed above are to be retained by the Finance Department and always made available for verification.

Approval Area : Revenues	
Preparer	Accountant
Verifier	Internal Auditor
Reviewer	Finance Manager
Approver	Administrator

13.4.6 Receipt of Salary Grant:

The components of aided salary grants are Basic Salary, D.A, E.L Encashment, Other allowances, Supplementary Salary etc. The process of accounting of salary grants is detailed below:

- Dr. AIT being an aided institution is eligible to get 85% of the aided salary cost from the Directorate of Technical Education, Karnataka and the remaining 15% is to be borne by the management of the Trust.
- As and when the monthly salary grant is received from DTE, a reconciliation statement should be prepared by the HR department to ensure that 85% of the salary of the said month is received as grant by Dr. AIT.

- A reconciliation sheet along with the monthly grant document should be forwarded by the HR department to the Finance Manager.
- The said grant should be accounted in tally immediately upon receipt of funds in the bank account along with the grant-related documents.
- In case of discrepancy, HR department will take up the matter with DTE for necessary action and recovery of the differential amount, if any.
- Upon receipt of the same, the Finance Manager should verify whether 85% of the total salary cost of the month is received as a grant. After verification, the same should be sent for Internal Auditor's verification.
- After verification by the Internal Auditor, the said calculation should be forwarded to the Administrator for his approval.
- The Administrator should inform the principal of the institution and Secretary of the Trust about the receipt of salary grants monthly.
- All documents relating to salary grants are to be stored in a separate file and always made available for verification.
- Accounting entries to be passed as per chart of accounts as below:

Account Classification	Sub Account Classification	Account Title	Account Code	To Increase
Assets	Current Assets	Balance with Banks	13001	Debit
Income	Direct Income	Salary Grants	31011	Credit

Approval Area : Salary Aids Received	
Preparer	H R Department
Verifier	Internal Auditor
Reviewer	Finance Manager
Approver	Administrator

Other Incomes

Other incomes include incomes such as maintenance charges, rental income, consultancy income, tender application fees, bank interest, income from investment, sale of scrap, penalties and fines etc. These incomes can be categorized as a) Recurring Income b) Non-recurring Income.

13.4.7 Recurring Income

- Recurring Incomes are those incomes which are received periodically. This includes incomes like Rental income etc.
- Rent should be collected monthly as per the rental agreement. If any rent is due for more than 2 months, it should be brought to the notice of the Administrator.
- The accountant should record the rental income as and when due in Tally and the receipt as and when received.
- A receipt should be issued immediately upon receipt of the amount.
- A reconciliation statement containing recurring amount received against the amount receivable during the said month is to be prepared by the accountant and to be submitted to the principal/head of the institute for their review and to the Internal Auditor for verification.
- After verification from the Internal Auditor, the same should be forwarded to the administrator for his approval.
- Accounting entries to be passed as per chart of accounts as below:

Account Classification	Sub Account Classification	Account Title	Account Code	To Increase
Assets	Current Assets	Balance with Banks	13001	Debit
Income	Indirect Income	Rental Income	32009	Credit

13.4.8 Non-recurring Incomes

- Non-recurring income refers to one-time income like consultancy income, bank interest, sale of scrap etc. which are not received on a regular basis. Non-recurring incomes are event based and are not uniform in nature.
- The accountant should raise the invoice and take the income on receipt from consultancy, sale of scrap and others. The bank interest or any other related receipts are to be accounted on receipt in bank accounts.
- The invoices raised are to be sent for approval to the Finance Manager. The power to sign the invoices is with the Finance Manager.

Area : Non-recurring Income	
Preparer	Accountant
Verifier	Internal Auditor
Reviewer	Finance Manager

13.5.1.7 Grants

Grants include all funds received in cash or kind from various government agencies to encourage specific purposes or for a general purpose.

Grants are categorized into:

- a. Specific Grants
- b. General Grants

- **Specific Grant**

- Specific grants are those grants which are provided for a specific purpose.
- These grants are not to be treated as income upon receipt but as liability in the books of accounts.
- Specific grants are being used only for the purpose specified in the grant document.
- Specific grants should be received in a separate designated bank account. The user departments should intimate the receipt of grants to the Principal.
- Specific grants are to be used by the user department which has worked to get the grant from the government or other agencies.
- A detailed plan is to be provided to the principal and the administrator about the utilization of the grant.
- If the specific grant requires the procurement of assets, then procurement policies are to be followed. If the specific grant amount is more than 100,000 the utilization plan must be in line with the procurement process and delegation matrix.
- The approved amount can be spent by the user department as per the utilization plan.
- After expenses, the Accounts Manager should verify the expenses along with the documents and forward them to the Internal Auditor.
- A utilization certificate should be obtained from the Chartered Accountant on the use of funds Based on the certificate, and in case of any unutilized funds, the same should be refunded after approval from the Principal and Administrator.
- All grant documents are to be obtained from the user department and maintained in a separate file in the Finance Department.
- Accounting entries are to be passed as per chart of accounts as below:

Account Classification	Sub Account Classification	Account Title	Account Code	To Increase
Assets	Current Assets	Balance with Banks	13001	Debit
Liabilities	Other Liabilities	Unutilized Grant/Specific Grant	25015	Credit

Area : Specific Grants	
Preparer	Accountant
Verifier	Internal Auditor
Reviewer	Finance Manager
Approver	Administrator

- **General Grant**

- General grants are grants provided without a specific purpose and can be utilized at the discretion of the institution.
- These grants are being accounted for as income immediately upon receipt.
- General grants should be received in a separate designated bank account. The user department should intimate receipt of grants to the principal.
- The amount to be spent as per the grant document should be approved by the Finance Manager and forwarded to the Administrator.
- The Administrator should approve the expenses and after that, the user department can spend it as per the approval.
- After the expenses, the Finance Manager should verify the expenses along with the documents and forward them to the Internal Auditor.
- A utilization certificate should be obtained from a Chartered Accountant in this regard. Based on the certificate, in case of any unutilized funds, the same are to be refunded after approval from the Principal and Administrator.
- All grant documents are to be obtained from the user department and maintained in a separate file at the Finance Department.

13.5 Expenditure

Expenditures are classified based on the nature of expenses incurred during the financial year as Employee Benefit Expenses, Administrative and General Expenses, Repairs & Maintenance, Financial Expenses and Depreciation & Amortization.

13.5.1 Employee Benefit Expenses

a. Monthly processing of Payroll and related Policies and Procedures

- All Employees after reaching the place of work should use Aadhar Bio-Metric attendance system to mark the attendance. In all other cases, sign the attendance register maintained by the HOD. This procedure is to be followed by both administrative as well as academic staff.
- The primary responsibility for recording the attendance vests with the HR Manager along with the HOD in case of academic staff and with HR department/Section in case of administrative staff.
- At the end of the month, HR department/section should download the attendance from the bio-metric system and compare with the attendance maintained by the HOD wherever applicable and prepare the attendance summary for payroll processing.
- Employee leave and absenteeism are to be verified by the HR department and if there are any differences, the same should be cross checked with the employee and the HOD.
- After verification, the HR Department should process the payroll along with the applicable deductions such as TDS, LIC, Family benefit fund, PF, Professional Tax, Group Insurance, Festival Advances etc. and send the same to Finance department for payment of salary.
- In the case of payroll relating to the PVP Welfare Trust employees, it should be processed by the Finance department.
- The accountants should ensure that in the case of aided component of Dr. AIT, 85% of the total payroll cost is received from the DTE.
- In case of any shortfall to process 100% of the payroll, Dr. AIT may temporarily borrow funds from the Trust to cover the shortfall.
- Request for funds to make good the shortfall should be communicated by the Finance Manager to the Administrator. The Administrator may request by letter to the Secretary, to release the funds for salary purposes.
- Once funds are received from the Trust, the accountant should pass Inter-unit transfers in the books of accounts.
- Based on the Payroll calculation sheet, the accountant will pass the payroll entries in the books of accounts.

- After accounting, the payroll calculation sheet along with the accounting entry sheet are verified by the Finance Manager and forwarded to the Internal Auditor for approval.
- After the approval of the Internal Auditor, the approved copies are forwarded to the Administrator for approval for payment of salary.
- Once the Administrator has approved the salary payments should be made.
- Salaries are to be paid before the 5th of every month.
- Any reimbursements in the form of Travel Reimbursements /employee refunds processed between the 1st day of the month and to 30th/31st day of the month are to be added to the payroll of the current month. Any reimbursements beyond that time are carried over to the succeeding month.
- Salaries and other reimbursements are being paid only through banking channels and not in cash.
- After processing of salary, the HR department should send monthly pay slips for each employee within 7-10 working days of salary payment.
- The payment file should contain an office note with provision for signatures of the Accountant, Internal Auditor, Finance Manager and Administrator.
- Accounting entries are to be passed as per the chart of accounts as below:

Account Classification	Sub Account Classification	Account Title	Account Code	To Increase
Expenditure	Direct Expenses	Salary to Aided Staff	41001	Debit
Expenditure	Direct Expenses	Salary to Un Aided Staff	41002	Debit
Expenditure	Direct Expenses	Honorarium/Remuneration	41003	Debit
Expenditure	Direct Expenses	EL Encashment	41004	Debit
Expenditure	Direct Expenses	DA Arrears	41005	Debit
Expenditure	Direct Expenses	Time Bound Arrears	41006	Debit
Expenditure	Direct Expenses	Supplementary Arrears	41007	Debit
Expenditure	Direct Expenses	PF Mgt Contribution	41008	Debit
Expenditure	Direct Expenses	ESI Mgt Contribution	41009	Debit
Assets	Current Assets	Balance with Banks	13001	Credit

Area : Payroll Related Costs	
Preparer	HR Department
Verifier 1	Accountant
Verifier 2	Internal Auditor
Reviewer	Finance Manager
Approver	Administrator/Principal

13.5.2 Deduction/Changes in Employees Payroll

- All changes to employee's payroll details such as payroll deductions, statutory deductions are to be authorized in writing by the individual employee and to be collected by the HR department before the deduction is applied.
- Declaration should be obtained in Form 12BB of the Income Tax Act, 1961 along with the proofs of investment for income tax related deductions.
- In case of new entrants, a declaration in Form 12B should be obtained to fix the salary. Deductions of the previous employment and TDS are to be made accordingly.
- The declaration relating to Income Tax deductions such as rent paid receipts, copies of health and life insurance, donation receipts etc. are to be obtained at least 3 months prior to the closure of Financial Year for TDS calculation and deduction by the HR department.
- One copy of the document containing changes in payroll data is to be maintained in each employee's personnel file and another copy is to be forwarded to the accounts department for consideration in the TDS calculations.
- Changes in payroll data are to be authorized in writing as below:
 - Changes in salaries and pay rates
 - Payroll deductions
- New hiring and changes in salaries or pay rates are to be authorized in writing by the Trust through a resolution.

13.5.3 Compliances relating to Salaries

All compliances relating to salaries are to be made by the Finance department and be forwarded to the Finance Manager for approval. After approval from the Finance Manager, the Internal Auditor would review and confirm the compliance.

Accounting entry to be passed as per the chart of account is as below -

Account Classification	Sub Account Classification	Account Title	Account Code	To Increase
Liabilities	Duties & Taxes	TDS Payable	24001	Debit
Liabilities	Duties & Taxes	Income tax Payable	24002	Debit
Liabilities	Other Liabilities	EBF	25001	Debit

Liabilities	Other Liabilities	EWFA	25002	Debit
Liabilities	Other Liabilities	FWF	25003	Debit
Liabilities	Other Liabilities	GIP	25004	Debit
Liabilities	Other Liabilities	LIC	25006	Debit
Liabilities	Other Liabilities	PT	25007	Debit
Liabilities	Other Liabilities	SBI Loan	25008	Debit
Liabilities	Other Liabilities	Canara Bank Loan	25009	Debit
Liabilities	Other Liabilities	Transportation (BUS)	25010	Debit
Assets	Current Assets	Balance with Banks	13001	Credit

13.5.4 Full and Final Settlement

- Full and Final Settlement includes undrawn salary, leave encashment, Gratuity etc. that are unpaid at the end of service of the employee.
- Full and Final settlements are subject to clearance of all pending dues/ tasks/ enquiries by the employee and after the approval of the principal.
- The Head of the Department should provide a no-objection certificate to the employee who should submit it to the HR department before settlement.
- The full and final settlement calculations are prepared by the HR department as per the statutory provisions and forwarded to the Finance Manager for approval.
- The accountant should verify in the accounting records if there are any dues/advances not repaid by the employee and deduct the same before Final settlement.
- The said calculations along with the no-objection letter should be forwarded to the Finance Manager for verification.
- The Finance Manager should review, approve and forward the same to the Internal Auditor for his approval before the same is submitted to the Administrator.
- The administrator should approve the payment after verification of the calculations. The relieving letter should be signed by the Administrator thereon.
- The payment file should contain an office note where provisions for signatures of the Accountant, Finance Manager, Internal Auditor and Administrator are provided.
- The signed documents and approved calculation sheet are to be maintained in the employee's personal file for future reference.

- The full and final settlement is to be made subject to all statutory deductions applicable.
- The accountant has to pass accounting entries as per the chart of accounts below:

Account Classification	Sub Account Classification	Account Title	Account Code	To Increase
Expenditure	Direct Expenses	Salary to Aided Staff	41001	Debit
Expenditure	Direct Expenses	Salary to Un Aided Staff	41002	Debit
Expenditure	Direct Expenses	Honorarium/ Remuneration	41003	Debit
Expenditure	Direct Expenses	EL Encashment	41004	Debit
Expenditure	Direct Expenses	DA Arrears	41005	Debit
Expenditure	Direct Expenses	Time Bound Arrears	41006	Debit
Expenditure	Direct Expenses	Supplementary Arrears	41007	Debit
Expenditure	Direct Expenses	PF Mgt Contribution	41008	Debit
Expenditure	Direct Expenses	ESI Mgt Contribution	41009	Debit
Expenditure	Direct Expenses	Gratuity	41010	Debit
Assets	Current Assets	Balance with Banks	13001	Credit

Area : Full & Final Settlement	
Preparer	HR Department
Verifier	Internal Auditor
Reviewer	Finance Manager
Approver	Administrator

13.5.5 Festival Advance

- Based on the Government notification relating to festival advance, the eligible amount of festival advance may be considered by the HR department.
- The HR Department circulates the eligible festival advance amount and seek the confirmation of employees requiring festival advance.
- All employees seeking festival advance should sign the document, based on which the HR department prepares the list of employees seeking festival advance.
- Along with the list, the amount required for a festival advance must be forwarded to the Administrator through the Finance Manager.
- The Administrator should seek the approval of the Secretary for payment of the festival advance.

- An approved copy must be forwarded to the Finance Manager for making payments of the festival advances.
- The payment file should contain an office note where provisions for signatures of the Accountant, Internal Auditor, Finance Manager and Administrator are provided.
- The festival advance must be recovered by the HR department in 10 equal monthly installments during monthly payroll processing.
- The HR department should maintain track of the advances and include the monthly recoveries while processing payroll and reconcile it on a monthly basis with the accounts department.

Area : Festival Advance	
Preparer	HR Department
Verifier	Finance Manager
Reviewer	Administrator
Approver	Principal

13.6 General and Administrative Expenses

General and administrative expenses (G&A) refer to expenditures relating to the day-to-day operations of the Institution. General and administrative expenses pertain to operational expenses and include utility bills, annual maintenance contracts, Government payments, pre-approved annual contracts, and vendor payments made through the procurement process.

General and Administrative expenses are categorized as below:

- Utility Bills such as telephone charges, internet charges, bank charges, electricity charges, postage and courier charges, insurance, newspaper payments, etc. as approved by the appropriate authority.
- Annual Maintenance Contracts such as renewal of AMC towards equipment, generator, software, computers & printers, etc.
- Mandatory Payments such as TDS, Professional Tax, E.S.I, P.F., VTU fees, COMED-K fees, Property Tax, NBA Fees, etc.
- Pre-approved annual contracts such as house-keeping contract, security contracts, garden maintenance, printing & stationery, audit

fees, contract lecturers' remuneration, exam fees remuneration, free-lancers' remuneration, honorarium, etc.

- Vendor contracts through procurement process such as repairs and maintenance relating to building, computer & network, equipment and all other payments which are listed in pre-approved annual contracts, and AMC contracts.

The Following are policies and procedures to be adopted for accounting of General and Administrative Expenses:

13.6.1 Utility Bills

- The user department of the utility must certify that the goods or services intended to be received are received.
- The user department must forward the utility bills to the Finance department. If the Utility bills are within the approved budget on a monthly basis, the same should be forwarded to Finance manager for review and then to the internal auditor for verification.
- Once approved by Internal Auditors, Finance Manager must forward the approved bills/vouchers to Administrator for payment approval. Once approved, payments are to be made by way of NEFT/RTGS etc.
- In case the expenses exceed the amount budgeted, the utility bills are to be paid only after obtaining approval from the Secretary.
- The payment file should contain an office note where provisions for signatures of Accountant, Finance Manager, Internal Auditor and Administrator are provided.
- The accountant, before processing the voucher from the user department should, check if any advance was paid to them against the said expense. If so, the advance paid should be adjusted and the balance payment should be made.

**Annual Maintenance Contracts/Pre-approved annual contracts/
Vendor contracts through the procurement process:**

- In case of annual maintenance contracts/pre-approved annual contracts/
Vendor contracts through the procurement process, the user department availing the goods/services should certify that all the contractual obligations

are fulfilled before the file is forwarded to the Finance department for payment.

- Payment file should include bills/invoice copy, work order, acceptance note from the user department, and approval of the HOD of the user department.
- The payment file should contain an office note where provisions for signatures of the Accountant, Finance Manager, Internal Auditor, and Administrator are provided.
- The accountant should record the invoice in Tally, sign on the voucher under the section 'Preparer' and forward the same to the Finance Manager for approval.
- The Finance Manager should review the payment file with the supporting documents and see whether the expenditure is within the approved budget and if so, forward the same to the Internal Auditor.
- The Internal Auditor should verify and approve the payment file and forward the same to the Finance Manager. The Finance Manager should forward the payment file to the Administrator for approval.
- Once approved, payments are made by way of NEFT/RTGS etc. The accountant before processing the payment should check whether any advance is outstanding against the said expenses. If so, the advance paid should be adjusted and only remaining payments are made, if any.
- In case the demand exceeds the amount budgeted, the bills are to be paid only after obtaining the approval of the Secretary.
- Once payment is made, a seal mentioning 'Paid' should be affixed on the invoice to ensure that no duplicate payments are made against the same invoice.
- When the original invoice is not available, a duplicate copy may be submitted to process the payment. The duplicate copy must be approved by the Secretary. The Finance Manager should certify that the invoice has not been paid previously.
- All the payment files are to be always stored and made available for verification.

13.6.2 Government Payments

- Statutory payments such as Income Tax, TDS, Professional Tax, E.S.I, P.F, etc. are to be paid on or before the due dates.

- The payment files relating to statutory payments are to be prepared by the accountant and forwarded to the Finance Manager.
- The Finance Manager will forward the payment file to the Internal Auditor before it is forwarded to the Administrator.
- Once approved by the Administrator, the statutory payments should be made online from the designated bank account.
- The statutory payment challans should be retained for audit purposes and should always be available for verification.
- Property Tax payable based on the area of the building has to be assessed by the Estate Manager and has to be forwarded to the Finance Manager for verification.
- VTU fees, COMED-K fees, NBA Fees and all other affiliation fees payable to AICTE, VTU, NAAC etc. have to be approved by the principal before it is forwarded to the Finance Manager.
- The Finance Manager would verify and forward the same to the Internal Auditor who in turn would verify and forward the same to the Administrator for approval.
- The Administrator would approve and forward the same to the secretary with estimated property tax payable. Once approved by the Secretary, property tax must be paid by the Accounts Manager.
- The payment file should contain an office note with provisions for signatures of the Accountant, Internal Auditor, Finance Manager, and Administrator.

13.7 Vendor Management

The accounts' payable function assists in accomplishing this goal through processing invoices and making payments for authorized transactions.

The accounting of the purchase of assets or incurring of expenses and its related liability are done by the Finance department which is independent from the user department.

The amounts recorded are based on the vendor invoice for the related goods or services. The vendor invoice is supported by an approved purchase order which is reviewed and approved by the user department and appropriate

authority as per the delegation matrix before being processed for payment. The user department should certify the receipt of goods or services on the bill before forwarding it to the Finance department. The invoices and related entries are passed through the ledger account in the books of accounts.

13.7.1 Policy on Vendor Management

Before any contracts are awarded to vendors, the empanelment process has to be followed for all goods and services except utility bills or government payments including statutory payments. This policy envisages a process from the empanelment of vendors till the payment for the goods and services.

Following are the steps to be followed for vendor management:

- I. Empanelment of vendors as per the criteria as decided by the procurement committee.
- II. A vendor master file should be maintained and updated on a regular basis.
- III. Processing of Invoices

Processing payment to vendors through detailed payment process as mentioned earlier.

- I. **Empanelment of vendors as per the criteria as decided by the procurement committee.**
 - Administrator to define the eligibility criteria for each category of products or services to be procured and seek approval from the procurement committee.
 - Once the Secretary approves the eligibility criteria, it should be published on the website and through paper notification and other media means to draw the vendors attention to the procurement notification.
 - The documents received from prospective vendors are to be verified by the purchase committee under the guidance of the Administrator and the eligible vendors are to be listed as per the documents and forwarded to the Secretary for his review.
 - The reviewed list of eligible vendors is to be forwarded to the Secretary for approval.

- Once approved, this list should be used for creation of vendor master file.

II. Creation of Vendor Master File

Vendor master file should include:

- Vendor Registration Form duly signed and sealed
- Copy of Permanent Account Number (PAN)
- Copy of Professional Tax (P.T) Document
- Copy of Goods and Services Tax (G.S.T) registration
- Mandatory documents to satisfy the eligibility criteria
- In case of Partnership firms, partnership deed. In case of LLP, LLP Agreement. In the case of company, Certificate of Incorporation should be collected.
- MSME Certificate
- Address with contact number of the entity and address of all the partners/directors.
- Documents must be full and complete to create a vendor master file and vendor code.
- Declaration that Vendor is not related to any Trustee or staff.
- The Administrator should review the list of vendors annually.

III. Processing of payment to vendors

- Before processing payment to vendors, the Finance department should verify whether appropriate authorities have approved the payment.
- All payments to vendors are made through Cheques or Electronic Transfers.
- Applicable statutory deductions are to be made before payment.
- The payments must be made after approval as per the delegation matrix.

13.7.2 Policy on Imprest Cash Payments

Imprest cash should be used for payments of less than Rs.2,000/- for a single party in relation to a single transaction. No payment should be made in cash if

the payment is more than Rs. 2,000/- in relation to a single transaction. Payments of more than Rs. 2,000/-, should be made only through cheque or electronic transfers.

Managing Imprest Cash

- Below are the authorized persons to handle Imprest cash -

Authorized persons	Limit
Principal	Rs. 50,000/-
Administrator	Rs. 25,000/-
HOD	Rs.10,000/-

- The above persons are responsible to follow procedures relating to Imprest cash expenditures:
 - Expenditure incurred through Imprest Cash should have original bills for above Rs.200/-transactions. Any amount of expenditure below Rs.200 should be supported by Imprest cash vouchers in case the original bills are not available.
 - Original bills/cash vouchers are to be submitted by user departments and approved by authorized persons.

13.8 Fixed Assets Management

Fixed assets are also known as tangible assets and include property, plant, Equipment etc. This can be compared with current assets such as cash or bank accounts, which are described as liquid assets. In most cases, only tangible assets are referred to as fixed assets.

All purchases over Rs.10,000/- and with a useful life of more than one year are to be considered as "Fixed Assets" and recorded as per chart of accounts. In case the assets are received without any consideration, they should be entered in the Fixed Assets Register with a nominal value of Rs. 1/- for recognition of such assets.

Steps to be followed regarding Fixed Assets

- a. After following the procurement process, when fixed assets are received, the user department must ensure that the asset received is in line with the tender conditions.
- b. Once the user department ensures that the asset procurement is as per tender conditions, a delivery note, or a Goods Receipt note is to be signed. Vendor invoice along with delivery note/GRN is to be sent to the Finance Manager for processing of payments.
- c. The Finance Manager shall verify the correctness of documents forwarded by the user department and forward the same to the accountant for accounting after approval of the same.
- d. Once accounted for, the said documents are to be forwarded to the Internal Auditor.
- e. The Internal Auditor will verify the same and forward it to the Administrator for payment approval. Once the Administrator approves the payment, the payment may be made.
- f. Once payment is made to the vendor, the payment entry is to be passed.
- g. Fixed Asset Register - All procurements of fixed assets are to be entered in the fixed asset register maintained in excel sheet. At the end of the year after assets verification, a hard copy must be taken and preserved.
- h. Depreciation is to be calculated using the written down value method of depreciation. Depreciation rates prescribed under the Income Tax Act, 1961 are to be followed.
- i. **The major classifications of assets and their rate of depreciation are as below:**

Assets	Estimated useful life
Land	Not applicable
Buildings	10%
Books	100%
Furniture and Fittings	10%
Equipment	15%
Motor Car	15%
Motor Buses	30%
Computers and peripheral devices	40%
Intangible Assets	25%

13.8.1 Various Categories of Assets

a. Land

If the land is purchased, the cost of acquisition is to be recorded in the books and shall include the amount paid towards the land including stamp duties, legal fees and other costs directly associated with procurement of land. If the land is acquired by Grant or bequest, the land should be recorded at fair market value as on the date of gift or bequest. No depreciation to be charged on Land.

b. Buildings

Building includes all civil structures including residential buildings, temporary structures, permanently attached fixtures, machinery, and other equipment that cannot be removed without damaging the buildings.

The cost of the acquisition of the building includes all costs of construction which are directly attributable to bringing the asset to the present location and condition. Significant structural changes to a building that increases the building's usefulness, efficiency or asset life should also be capitalized.

Improvements to land other than buildings, such as streets, pavements, bridges, landscaping and utility distribution systems are to be capitalized separately and updated in the fixed asset register.

c. Books

Books include periodicals, library books, online books, and online subscriptions for books. The cost of acquisition should include all costs directly attributable to bringing assets to the current location and state. Depreciation on books is to be calculated at 100%.

d. Other assets

Other assets include furniture and fixtures, equipment, motor cars, motor buses, computers and peripheral devices.etc

If the asset is purchased, the cost includes the amount invoiced less all discounts; and costs incurred to bring the asset to the current condition and location such as freight, installation commission expenses etc. If any

asset is received as a gift or donation, then the fair market value of the asset on the date of gift is to be recorded as the cost of acquisition.

e. Capital Work in Progress

This classification includes all projects under construction, other improvements being made and equipment which is under development and is not ready for use as on the last day of the financial year.

13.8.2 Physical Verification of Fixed Assets

- a. The Administrator must set up a team for physical verification of fixed assets every year. The team must include personnel from departments other than the Finance department but may include Internal Auditor.
- b. The team must physically verify all the assets listed in the fixed asset register.
- c. All assets that are not found during the physical verification are to be reported to the Administrator with a copy to the user department.
- d. Each user department is responsible for identifying the assets which are missing. If the same is not traceable, the user department shall provide reasons in writing for not tracing the missing asset.
- e. Assets that are not in workable condition or damaged, shall be reported separately.
- f. Requests for 'write off' must be made in writing by the user department to the Administrator.
- g. The list of assets that are to be written off should be submitted to the Board of Trustees for final approval.
- h. Once approved by the Board of Trustees, the Finance Department will write off such assets and remove them from the fixed asset register.

13.8.3 Disposal of Fixed Assets

- a. Fixed assets that are not in usable condition should be identified for disposal.
- b. The User department should fill in the Asset Disposal form and send the same to Administrator.
- c. The Administrator will form a committee to determine whether the asset(s) should be disposed of or whether the asset(s) can be reused with limited repairs or are in usable condition.

- d. Assets that are worn out, obsolete or damaged and beyond repair should be taken up for disposal and the individual asset will be deleted from the Fixed Asset Register.
- e. If the asset(s) is/are to be disposed of, the committee signs the asset disposal form and sends a copy to the Secretary for final approval.
- f. After the final approval, the asset is to be removed from the books and fixed asset register.

13.8.4 Inter-departmental/ Inter-institutional Transfers

- a. Inter-departmental transfers of Fixed Assets should be reported to the Finance department and Inter Department Transfer Form is to be provided by the department initiating the transfer.
- b. A copy of the transfer form is to be signed by both the departments transferring the asset and receiving the asset. A copies of these signed forms shall be maintained by both the departments.
- c. The Finance department updates the asset's location in Fixed Asset Register and files the Transfer Form in a separate file.
- d. The above process is to be followed for inter-institutional transfers.

13.8.5 Lost, Stolen or Destroyed Assets

- a. Lost, stolen or destroyed assets should be reported immediately by the user department to the Administrator through an incident report.
- b. Upon the approval of the Administrator, the Finance department will submit claims to the insurance company if the asset is insured.
- c. The Administrator has to identify whether loss, theft or destruction of the asset is due to any staff lapses. If yes, the amount as per books of accounts as on the date of incident should be recovered from the staff. If no, the Administrator must approve for write-off from the asset under information to the Secretary.
- d. If the insurance company approves any claim and makes payment the same needs to be refunded to the staff concerned to the extent of amount recovered or claims received whichever is less. Otherwise, the claim amount should be taken into as 'Other Incomes'.
- e. Based on the approval of the Administrator, the asset should be written off in the books of accounts and fixed asset register.

- f. In suitable cases lodging a Police Complaint should also be considered.

13.9 Maintenance of Bank Accounts

The Finance Department has the responsibility to maintain and monitor all bank accounts. If any new bank account must be opened, it should be done with the approval of the Secretary. The request for the new account should be forwarded to the Administrator/principal /Secretary from the Finance department along with the purpose and the justification for opening the account. Once the request is approved, the process for opening the account should be followed by the Finance department

- Contact the bank and collect the documentation list to open the account.
- Any document relating to the personal information of the Trustees should be requested through the Secretary.
- A Trust resolution should be passed to authorize the signatories to open and operate the bank account.
- All documentation relating to the opening of the bank account is to be certified by the Secretary if sought by the bank.
- Once the Trust resolution is received, the application, Trust resolution and signature cards of the authorized signatories are to be forwarded to the bank for further processing and opening of the bank account.

13.9.1 Cheques and Fund Transfers

- All cheque books should be in the custody of the Accounts Superintendent.
- At all times cheques should be crossed and undated.
- The cheques must be signed by at least 2 signatories as approved by the Trust resolution.
- Before the cheques are issued by the Finance department, the financial limits as per the delegation matrix are to be verified and signatures obtained.
- The Finance department should notify the bank if there are any changes in the authorized signatures.
- Cheques should be issued only if enough funds are available, and it should be ensured that no cheque is returned due to insufficiency of funds.

- All fund transfers through the bank by way of IMPS, NEFT, and RTGS are to be done by filling out fund transfer forms along with the cheque.

13.9.2 Bank Reconciliation Statement (BRS)

- The Finance department should have Internet banking viewing access to all bank accounts and to download monthly bank statement of all accounts for reconciliation.
- Alternatively, the Finance department may receive bank statements directly from the bank, either by mail or hand delivery usually at the end of each month.
- The accounts department should reconcile all bank accounts monthly.
- If there are any unexplained credits and unauthorized debits, the same should be reported to the Finance manager for suitable entry in the books of accounts.
- In the case of unauthorized debits, the Finance manager should take up the matter with the bank for clarification and reversal.
- All bank reconciliations prepared by the accountant are to be approved by the Finance manager monthly and forwarded to the Internal Auditor for review.
- If cheques issued are not cleared within 3 months, they are to be reversed.
- BRS must be prepared through Tally wherever Tally is implemented for bookkeeping.
- The monthly BRS along with bank statement copies are to be documented and maintained in a separate file.

13.9.3 Cash Flow Management

- The Finance manager is responsible for monitoring cash flow on a regular basis. The cash flow is to be assessed keeping in view the short-term and long-term needs of the institution.
- Cash flow management should ensure that the institution honors all the payment obligations, eliminates idle funds and invests surplus funds if any.
- The following entry shall be passed for Fixed Deposits:

Account Classification	Sub Account Classification	Account Title	Account Code	To Increase
Assets	Investment	Fixed Deposits	12001	Debit
Assets	Current Assets	Balance with Banks	13001	Credit

13.10 Inventory Management

Inventory management is the practice of overseeing and controlling of the ordering, storage and use of inventory in the institution. Following are the types of inventories found in the institution:

- Printing Supplies
- Computer Supplies
- Lab Consumables
- Stationery items
- Electrical supplies

13.10.1 Accounting of Inventory

- On purchase of inventory items, they should be accounted under the inventory head as assets at cost.
- Only on consumption, consumption entry is to be passed and expenditure booked.
- The user department should maintain stock records with inward and outward details of supplies regularly.
- At the year's end, a physical verification of the inventory should be taken and suitable entry should be passed after approval from Finance managers and the Internal Auditor.

13.10.2 Physical Verification of Inventory

- It is the responsibility of the Finance Department to conduct physical verification annually by constituting a team.
- The team should consist of one representative from Admin, Purchase, Finance and the Internal Auditor. The physical verification team should provide the report on physical verification with excess or short fall if any to the Administrator.
- Any excess or short fall should be explained by the user department.

- The valuation of closing stock should be done at cost using first-in and first-out (FIFO) method.
- The Finance Department should verify the report and pass suitable entries in the books of accounts.

13.10.3 Maintenance of Inventory Register

- The user department is responsible for maintaining an inventory register with details of inwards and outwards regularly.
- Any inventory that is damaged before reaching the user department shall not be accepted but returned to the supplier.
- Any inventory items that are damaged, obsolete or otherwise not usable are to be separately recorded and informed to the Finance department.
- Every year, the damaged or obsolete inventory items are to be removed from the register after obtaining approval from the Administrator.

13.11 Financial Statements

A financial statement is a formal record of all financial transactions and the financial position of the institution in the financial year. All financial transactions are presented in a structured manner in line with India's Generally Accepted Accounting Principles as required by statutory acts like the Income Tax Act which includes, the Income & Expenditure Account and Receipts & Payments account and Balance Sheet.

A **balance sheet** is a statement of financial position which consists of assets, liabilities, and capital fund at a given point in time.

An **income & expenditure account** records all incomes, expenses and excess of income (expenditure) over expenditure (income) for a period. In the income and expenditure account all incomes are to be accrued and all expenses are to be provisioned to ensure that excess of income (expenditure) over expenditure (income) is true and fair for the given period.

A **receipt and payment account** records all actual cash receipts and cash payments for a given period. The opening balance includes both cash and bank balances as on the first day of the reporting period and the closing balance includes cash and bank balances as on the last day of the reporting period.

A **fees reconciliation statement** records all fee dues at the beginning of the year, demand raised during the year, fees collected for the period and fees

outstanding at the close of the year. This statement provides insight of fees to be collected and helps in managing cash flow.

The notes typically describe each item on the balance sheet, income and expenditure account and receipt and payment account in further detail.

Notes to financial statements are also considered an integral part of the financial statements.

Financial statements may reflect year-on-year comparisons.

Following are the broad components of financial statements:

- Balance Sheet – reflects assets, liabilities and net assets of the organization and classifies assets and liabilities as current or noncurrent/long-term.
- Assets are probable future economic benefits obtained or controlled by the organization as a result of past transactions or events. Assets are classified as current assets and fixed assets.
- Current Assets are ones that an entity expects to use within one year's time from the reporting date. Some examples are cash, temporary investments, and receivables that will be collected within one year of the statement of financial position date.
- Fixed Assets are those whose benefits are expected to last more than one year from the reporting date. Some examples of fixed assets are buildings, furniture & fixtures, computers and printers, equipment and intangible assets such as software etc.
- Liabilities are probable future sacrifices of economic benefits arising from present obligations of the organization to transfer assets or provide services to other entities in the future, because of past transactions or events. Liabilities are current liabilities and loan funds.
- Current liabilities are probable sacrifices of economic benefits that will likely occur within one year of the date of the financial statements or which have a due date of one year or less. Common examples are sundry creditors, accrued liabilities, salary payable, statutory liabilities such as TDS payable etc.
- Loan funds are probable sacrifices of economic benefits that will likely occur more than one year from the date of the financial statements; for example, Car loan, Term loans, Mortgage loans etc.

- Revenue is the gross inflow of cash, receivables or other consideration arising during the ordinary activities of the institution from students or through rendering of services, income from investments, salary grants and other grants from Government etc.
- Expenses are costs incurred in running the institution such as salaries & wages, consulting expenses, accreditation expenses, other general administrative overheads, depreciation etc.

13.11.1 Adoption of Financial Statements and Audit

- All accounting entries arising out of financial transactions of the institution are to be recorded by the respective accountants.
- Reconciliation of all revenues & expenses are to be documented for audit. All bank account reconciliations are to be completed before the 30th of April of the subsequent financial year.
- All statutory compliance such as Tax Deduction at Source (TDS), Professional Tax, Employee State Insurance (E.S.I), Provident Fund (P.F) etc. are to be verified and payment ensured within the due date.
- All documents/files/invoices/receipts relating to incomes and expenses are to be made available for audit by 31st May of the subsequent financial year.
- Draft annual financial statements and supporting schedules are to be prepared and forwarded to the principal for approval.
- After approval by the principal, the draft financial statements are to be provided for audit.
- Audit firm will audit the books of accounts and draft financial statements. Audit firm will issue audit reports with or without changes to draft financial statements which needs to be signed by the Secretary in addition to the principal.
- Once the Secretary and the Principal sign the financial statement along with the Auditor, the same becomes the audited financial statement.
- All statutory compliances such as filing of income tax returns, audit report or any other relevant forms are to be filed in line with audited financial statements.

13.11.2 Annual Audits

It is the policy of every institution to get its books of accounts audited annually by an independent audit firm. The audit fees are determined by the Trust and communicated to the institutions. The Trust should approve the name of the audit firm.

I. Preparation for the Annual Audit

The Finance manager should be actively involved in planning and assisting the independent audit firm for smooth and timely completion of the audit of its books of accounts. All the Accountants should provide assistance to the independent auditors in completing their work.

II. Audit Planning

The Finance manager is responsible for planning and delegating the responsibilities to accounting staff in the preparation for the audit as per the requirements of the audit firm.

III. Concluding the Audit

Upon receipt of draft audited financial statements, the Internal Auditor should review the draft along with the books of accounts and ensure the following points:

- Carefully verify the entire financial statements for typographical errors if any.
- Ensure that the balances shown against each ledger account are in line with the books of accounts and trial balance provided for audit.
- Also review the financial statements, disclosures made in the financial statements and accompanying footnotes for accuracy and completeness.
- If any clarifications are sought by the audit firm it should be communicated to the audit firm in a timely manner so that the audit is concluded on time.
- It is the responsibility of the Finance Manager to review and respond in writing to the observations and recommendations made by the independent audit firm.

- The Internal Auditor and Finance Manager should ensure that the audited financial statements are signed by both the auditor and the Principal/Secretary.

13.12 PROCUREMENT POLICIES

The purpose of the procurement policy is to ensure that procurement of goods and services is at market-appropriate and competitive rates, ensuring that goods are of quality and are timely delivered. It also ensures transparency and accountability in the purchasing system.

Every authority delegated with the financial powers for procuring goods or services shall have the responsibility and accountability to bring efficiency, economy, and transparency in matters relating to procurement and for fair and equitable treatment of suppliers and promotion of competition in the procurement process.

Commencement

This Purchase Policy came into effect on 1st August 2024 after it was approved by the Trust. The Purchase Policy will be reviewed by the Trust every three years or as and when required.

Applicability

This Purchase Policy shall be applicable to the Trust and all its institutions. All kinds of procurement of goods and services including:

- Land and Building, construction of the new building, addition/alteration/renovation work to an existing building, special repairs and installation of new or replacement of old equipment like lifts, DG sets, AC equipment, fire-fighting systems, etc.
- Specialized and professional advisory/consultancy services like HR consultants, Media & PR consultants, content writers, Artists for singing/movies/clips/ jingles/acting, legal services, advocates, auditors, tax consultants, reviewers, writers, trainers, examiners, paper setters, architects, vaulters or any other specialized or professional services etc.

and other services. Where it applies the Trust should strive to empanel a minimum of three consultants (service providers) in each category.

- Library books, Specific gifts/items, mementoes, convention bags, hotel, catering etc. for Programs / Seminars may however be procured / availed directly from the supplier / service provider.
- The following goods and services pertaining to Dept. of Examinations being confidential and critical in nature may be purchased directly after approval by the principal:
 - Multinational Branded Items like AC / Computer/ Mobile through Authorized Dealer / Agent / Shop of the OEM in the respective area and Domestic Branded items from Manufacturer / Wholesaler.
 - Printing of Confidential papers
 - Processing of Results and associated goods and services, award sheets, absentee list and scanning thereof including Answer Books/ sheets; and
 - Movement of Examination materials, i.e., Question Papers, Answer Books and other material to/ from Examination Centers and Examiners etc.
 - Printing, packing, procurement and supply of Answer Books
 - Pre- and post-examination activities relating to online/ offline examinations including evaluation of answer books through online/ offline mode.
 - Procurement of confidential/ customized stationery items like Question Paper Envelopes, Result cum mark statements, Rank/ Prize Certificates, customized canvas bags with lock/ rod and other customized stationery items to be used for communicating with various experts viz. examiners/paper-setters/moderators etc.
 - Development of customized portal/software relating to examination activities
 - The principal is hereby authorized to approve the procurement of the above items of goods and services and any other items as decided by the Principal in relation to the Dept. of Examination.
- Specific items e.g. Medals, Trophies, Shields and Souvenirs for Convocation, Programs / Seminars, ICSI brand store items, New Year

diaries, Planners etc. may be procured / availed directly from the supplier / service provider as per customized quality by doing the market survey on recommendation by the user / and on approval of the Administrator.

13.12.1 Procurement Objectives

- a. The procurement should be to the extent practicable objective, functional, generic, and measurable and specify technical, qualitative and performance characteristics and not indicate a requirement for a particular trademark, trade name or brand.
- b. The specifications in terms of quality, type etc., as well as quantity of goods or services to be procured, should be spelt out keeping in view the specific needs of procurement. The specifications so worked out should meet the needs of the organization without including superfluous and non-essential features, which may result in unwarranted expenditure.
- c. Purchasing quantities more than the requirement should be avoided to limit the inventory carrying costs.
- d. Offers should be invited following a fair, transparent and reasonable procedure.
- e. The procurement process must stand the test of public scrutiny and meet the best quality standards and the products procured should be at fair market price without using government procurement rates as a basis of benchmark for tendering eligible purchases.

13.12.2 Definitions used in Procurement

- a. **Delegation of Financial Power (DOFP)**
Delegation of Financial Powers as approved by the Trust from time to time.
- b. **Procurement**
The term "Procurement" refers to the process by which goods, services and works are acquired from third parties for the Trust. This is a lifecycle process that covers from the initial purchase concept through to the end of the life (and disposal also in case of goods/assets) of the purchased asset or service.

c. Purchase Committee

The Committee (by whatever name called) constituted to recommend the Purchase.

d. Bidder

"Bidder" (including the term 'tenderer', 'consultant' or 'service provider' in certain contexts) means any eligible person or firm or company, including a consortium (that is an association of several persons, firms or companies), participating in a procurement process of the Trust.

e. Registered Vendor

A registered Vendor is a vendor registered with the Trust who shall be eligible for receiving Tender Enquiry for the specified items for which he has been registered on his application and payment of a prescribed fee.

f. Empaneled Vendor

An Empaneled Vendor is a vendor with whom a Rate Contract has been concluded by the Trust after following the due procurement process.

g. Supplier

Supplier is the party which contracts to supply goods and services with the trust. The term includes his employees, successors, authorized dealers/representatives, Stockiest and distributors. Other homologous terms are: Contractor, Vendor, Firm, Manufacturer, OEM, Bidder, Tenderer etc.

h. Capital Goods

Capital Goods means the goods that have long-term usage and include Furniture, Fixtures, Photocopier, Fax, Mobile, Software, IPR Licenses, Computers, UPS, Servers, Printers, Scanners, vehicles, CCTV, DG Sets, ACs and all types of Electrical, Mechanical, Information Technology and office equipment of any description.

i. Revenue Goods

Revenue Goods means all movable goods other than capital goods that are meant for consumption or usage in routine activities of the Trust including stationery, sanitary, electrical, mechanical, IT peripherals and consumables, maintenance, and housekeeping items, spares etc.

AMCs of equipment, housekeeping services, security services, repair & maintenance services, hiring of taxis, courier, packing, forwarding, and printing, catering, air ticketing etc. services shall also be treated as Revenue items.

j. Authority for initiating procurement of goods and services

The procurement process for various goods and services shall be initiated by the user Departments. In the event of procurements for the administrative department, it shall be initiated by the Administrator.

13.12.3 Responsibilities of the Department which initiates the procurement process

The Department which initiates the procurement process for goods and services shall be responsible for:

a. Budgetary Control

Budgetary control ensures that provision is made in the budget and availability of budget for the proposed procurement for each department.

b. Administrative approval

Obtaining administrative approval from the competent authority for the proposed procurement before the procurement process is initiated. It is to be clarified that a provision in the budget is only a pre-requisite for the specific administrative approval. Therefore, specific administrative approval for each item is necessary to be obtained from the competent authority. The approval shall be provided on or attached to the 'Purchase Requisition'.

c. Timing for initiating the procurement process

The user Department shall ensure that the proposed requirements are accurately worked out based on past consumptions and future anticipation. Over or under-procurement must be avoided. The minimum stock level,

optimum order quantity and re-order quantity must be clearly defined as far as possible based on past consumption.

The procurement process must be initiated on time keeping in view the time involved for the tendering process. Generally, the lead time of 45 and 60 days for Limited Tender and Open Tender respectively should be adhered to.

d. Proprietary / Monopoly items

The initiating department shall certify if any item is a proprietary or monopoly item of any vendor/service provider with the reasons/ justification and supporting document / information.

e. Support to the Purchase Department

Initiating department shall provide support regarding potential suppliers, market trends, past experiences, price justification etc.

f. Recommendation / Opinion for Procurement

The initiating Department would provide its recommendation/opinion regarding quality, quantity, specifications, price, extension of contract etc. in respect of the procurement whenever required.

13.12.4 Post-purchase responsibilities of the Purchase Department

The Purchase Department shall be responsible for:

- a.Registration of vendors for general and routine items of consumption and regular updating of the list of registered vendors by adding new vendors at least once a year.
- b.Maintenance of rate contract for general and routine items of standard goods/services and timely review thereof as per market conditions.
- c.Procurement of goods and services in accordance with the procurement process as given in this purchase policy, financial prudence and common prevailing practices.
- d.Obtaining, maintaining and administering the Performance Guarantees as per the terms of the tenders; Refund of EMD to the unsuccessful bidders as per the terms of the Tender.
- e.Processing the payments as per the purchase/work order including the levy of penalty wherever applicable.

- f. Administration of Warranty / Guarantee in consultation and coordination with the user department.
- g. Compliance with the terms and conditions of the Tender and Purchase / Work Order in each case of procurement.
- h. The Purchase Department shall ensure compliance with the budgetary provisions while discharging its aforesaid responsibilities.

13.12.5 Responsibilities of the Purchase Committee

The Purchase Committee shall be responsible to:

- a. Recommend the procurement of the goods/ services to the Trust based on:
 - Administrative approval of the competent authority for the proposed procurement.
 - Approval of the procurements proposed by concerned committee, wherever applicable/ required
 - The outcome of the tendering process completed as per this purchase policy and submitted to the committee for consideration.
 - Justification for the quality, quantity and price of the proposed procurement keeping in view the overall interest of the Trust.

- b. For discharging its responsibilities, the Purchase Committee may:
 - Seek clarification/recommendation from the user department/vendor on proposals placed before it for consideration.
 - May obtain expert opinion by engaging independent experts.
 - Recommend to the concerned authority/department for improvement in the quality of the procurement.
 - Recommend any proposal placed before it for consideration to the competent authority / concerned committee for consideration and decision.
 - Consider and advise on any other matter in the larger interest of the Trust and its stakeholders.

13.13 Mode of procurement

Depending upon the total estimated cost involved, urgency and availability of time, the procurement shall be made by the following modes given here: -

1. Government e-Marketplace (Gem)
2. Purchase without quotation
3. Purchase by obtaining bids/tenders.
4. Purchase under rate contract
5. Institutional Purchase Committee

Procurement Type with Financial Limits

Procurement Type	Financial Limits	Competent Authority
Direct Procurement without quotation	Up to Rs. 25,000	Verifier – User Dept Approval- Administrator
Purchase by Obtaining		
Single Tender Enquiry	Rs. 25,000 to Rs. 2,50,000	Verifier – User Dept Approval- Principal
Limited Tender Enquiry	Rs. 2,50,000 to Rs. 5,00,000	Verifier – User Dept Reviewer- Administrator Approval –Trust
Open Tender Enquiry	Rs. 5,00,000 to Rs. 10,00,000	Verifier – User Dept Reviewer- Administrator Approval –Trust
Open Tender Enquiry Finalized by Purchase Committee	Rs. 10,00,000 to Rs. 25,00,000	Verifier – Administrator Reviewer- Principal Approval –Trust
Open Tender Enquiry Finalized by Trust	Above Rs. 25,00,000	Verifier – Administrator Reviewer- Purchase Committee Approval –Trust
Rate Contract	Recurring in Nature	Verifier – User Dept Reviewer- Administrator Approval –Trust

13.13.1 Government e-Marketplace (GeM)

Government e-Marketplace (GeM) is a one-stop portal to facilitate online procurement of common use Goods & Services required by various Government Departments / Organizations / PSUs. Since GeM aims to enhance transparency, efficiency and speed in public procurement, it is also included in Modes and Procedure of Procurement. It provides the tools of e-bidding, reverse e-auction and demand aggregation to help government users achieve the best value for their money.

Advantages:

- Offers rich listing of products for individual categories of Goods/Services.
- Makes available search, compare, select and buy facilities.
- Enables buying Goods and Services online, as and when required.
- Provides transparency and ease of buying.
- Ensures continuous vendor rating system.
- Up-to-date user-friendly dashboard for buying, and monitoring supplies and payments.

Government e-Marketplace (GeM)	
Financial Limits	Procurement Condition
Up to Rs. 25,000	Direct purchase from GeM Vendors
Rs. 25,000 to Rs. 2,50,000	GeM Seller having lowest price amongst at least three different sellers.
Rs. 2,50,000 to Rs. 5,00,000	GeM Sellers having lowest price amongst at least six different sellers on GeM.
Rs. 5,00,000 to Rs. 10,00,000	Obtaining bids, using online bidding or reverse auction tool provided on GeM
Rs. 10,00,000 to Rs. 25,00,000	Obtaining bids, using online bidding or reverse auction tool provided on GeM and recommended by Purchase Committee and approved by the Trust.
Above Rs. 25,00,000	Obtaining bids, using online bidding or reverse auction tool provided on GeM, reviewed and recommended by Purchase Committee and finalized by the Trust.

- Goods Up to Rs. 25,000/- (Rupees Twenty-five thousand) may be procured through any of the available suppliers on the GeM, meeting the requisite quality, specification and delivery period.
- Goods above Rs. 25,000/- (Rupees Twenty-Five thousand) and up to Rs.2,50,000/- (Rupees Five lakh) may be procured through the GeM Seller having lowest price amongst at least three different sellers available, on GeM, meeting the requisite quality, specification and delivery period.
- Goods above Rs.2,50,000/- (Rupees Two Lakh Fifty thousand) and up to Rs.5,00,000/- (Rupees Five lakh) may be procured through the GeM Sellers having the lowest price amongst of at least six different sellers available on GeM, meeting the requisite quality, specification and delivery period.
- The tools for online bidding and online reverse auction available on GeM can be utilized even for procurements of goods and services of more than 5 lakh value.
- Goods above Rs.5,00,000/- (Rupees Five Lakh) and up to Rs. 10,00,000/- (Rupees Ten Lakh) may be procured through the supplier having the lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids, using online bidding or reverse auction tool provided on GeM;
- Goods above Rs.10,00,000/- (Rupees Ten Lakh) and up to Rs. 25,00,000/- (Rupees Twenty-Five Lakh) may be procured through the supplier having the lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids, using online bidding or reverse auction tool provided on GeM, and reviewed and recommended by Purchase Committee and finalized by the Trust.
- Goods above Rs. 25,00,000/- (Rupees Twenty-Five Lakh) may be procured through the supplier having the lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids, using online bidding or reverse auction tool provided on GeM, and reviewed and recommended by Purchase Committee and finalized by the Trust.
- The above-mentioned monetary ceiling is applicable only for purchases made through GeM
- Before making purchases, the following should be observed:
 - The reasonableness of prices should be ascertained before placing the order using the Business Analytics (BA) tools available on GeM

including the Last Purchase Price on GeM, and own Last Purchase Price; etc.

- A demand for goods should not be divided into small quantities to make piecemeal purchases to avoid procurement through L-1 Buying/bidding/reverse auction on GeM or the necessity of obtaining the sanction of higher authorities required with reference to the estimated value of the total demand.
 - Provision for easy return policy of the vendor should also be considered.
 - Before going for any procurement, the availability of the items should be checked with Gem. If the items are not available at GeM, then only they can be procured from the open market after certification of non-availability of the items at GeM by the user department. In exigencies and urgent requirement, the goods can be procured directly from the open market.

13.13.2 Purchase without Quotation

Purchase of goods up to the value of Rs.25,000/- (Rupees Twenty-Five Thousand) on each occasion may be made directly from the market without inviting quotations or bids with the approval of the Administrator. However, the demand for goods shall not be divided into small quantities to make piecemeal purchases to avoid the necessity of initiating the tender process and obtaining the sanction of higher authority required with reference to the estimated value of the total demand.

In cases of urgent need for goods with less than seven days' notice period, the reasons for urgency are to be recorded before initiating direct contracting.

The user department must come with a detailed request with a list of items for procurement that may be procured through direct contracting and this list should be approved by the Administrator. Payments must be made through account payee cheque or through NEFT/RTGS/IMPS as applicable through banking channels.

13.13.3 Purchase by obtaining bids

Procurement not covered under the aforesaid modes shall be made through tendering process by obtaining bids as follows: -

- a. Single Tender Enquiry
- b. Limited Tender Enquiry
- c. Open / Advertised Tender Enquiry

The process for each mode of procurement through tender is given hereunder:

a. Single Tender Enquiry

The Procurement of goods / services, the estimated value of which is above Rs. 25,000/- (Rupees Twenty-Five Thousand) and below Rs.2,50,000/- (Rupees Two lakh fifty thousand), may be done as Single Tender Enquiry by inviting Sealed Quotations from Registered and/or Prospective Bidders with due approval of the Secretary.

Procurement through a single tender may be resorted to in the following circumstances:

- **Proprietary / monopoly items**
If it is in the knowledge of the User Department that only a particular firm is the manufacturer of the required goods and sold through OEM's own or authorized retail showroom, a certificate to that effect should be provided by the User Department.
- **Emergency**
In cases of emergency, if the required goods are necessarily to be purchased from a particular source the reasons for such a decision are to be recorded and the approval of competent authority obtained.
- **Standard / Compatible Goods / Services**
Standard / Compatible equipment, machines, spare parts, technical services, maintenance services etc. to the existing sets of equipment may be purchased from a particular firm.
- **AMC Services related to IT Hardware items**
For AMC of all IT Hardware items (Server, Storage Device, Printer, Desktops, Laptops, Firewalls, Switches, Routers, Modems, etc.) respective OEMs shall be entrusted the AMC to ensure easy availability of parts and

effective support. In case the OEM does not directly entertain the AMC, the authorized service provider of the OEM should be entrusted to undertake the AMC with back-to-back support of the OEM. On the expiry of AMC, it could be further renewed with OEM/Partner as long as the OEM continues to give support.

- **Exceptional Circumstances**

In exceptional circumstances such decisions could be taken after recording reasons and the approval of the competent authority. Such conditions may be like:

- i. Emergencies like Power Failure, Disruption of Drinking water supply, Malfunctioning of Fire Fighting Equipment, malfunctioning of Lift, AC plants, DG etc., law & order problems, fire, flood, earthquake, water logging or any other natural calamities
- ii. The Supplier has exclusive rights.
- iii. No suitable substitute.
- iv. Tender held for several dates/ times, but no bidder quoted successfully, or no bid is received.
- v. The possibility of a new source is remote.
- vi. Software/ Solutions which are available in the market can be used for the benefit of the Trust.

b. Limited Tender Enquiry

The Procurement of goods/services, the estimated value of which is above Rs. 2,50,000/- (Rupees Two Lakh Fifty Thousand) and below Rs.5,00,000/- (Rupees Five Lakh), may be done as Limited Tender Enquiry by inviting sealed quotations from registered and/or prospective Bidders with due approval of the principal.

The following points shall be followed while adopting the mode of Limited Tender Enquiry:

- Copies of the bidding document should be sent to the following firms: -
 - Existing suppliers for the goods in question.
 - Empaneled suppliers for the goods in question.
 - List of prospective suppliers provided by the user department.

- Suppliers list available on the internet.
 - Any other possible source to identify a higher number of bidders.
- Tender documents shall be placed on the website of the Trust in the Tender Section.
 - At least ten days' and maximum fifteen days' time shall be allowed for submission of bids in limited tender enquiry cases unless a shorter duration is approved by the competent authority in case of urgent requirement.
 - The number of qualified bidders shall not be less than three for the award of contract to the successful bidder -
 - i. In case of less than three qualified bidders and the estimated value is more than Rs. 2,50,000/- (Rupees Two Lakh Fifty Thousand) and less than Rs. 5,00,000/- (Rupees Five Lakh) then the items shall be re-tendered through Open Tender once more only.
 - ii. In case of re-tendering either through Open Tender or Limited Tender Enquiry as stated above, the contract may be awarded to the lowest bidder even if the qualified bidders are less than three, on the recommendation of the Purchase committee/ User Department regarding the quality of the goods and justification of the price.
 - In case it is proposed to exclude any registered/approved supplier, detailed reasons like failure to supply items should be duly recorded and approval of the trust taken before exclusion.
 - Adequate time should be given for submission of quotes, which should not be less than three weeks. A longer period (six weeks) could be given in complex cases, if justifications are given and approved by the Trust.
 - In limited tendering, suppliers or contractors should be selected in a non-discriminatory manner and there should be enough suppliers or contractors to ensure effective competition.
 - Before resorting to limited tendering, it would be essential to ensure that the demand is not split into small quantities for the sole purpose of avoiding the necessity of obtaining approval of the competent authority.

c. Open and Advertised Tender Enquiry

- Procurement of Goods/Services of more than Rs. 5,00,000/- (Rupees Five Lakh) shall be made through Open and Advertised Tender Enquiry.
- If Goods/services to be procured are above Rs.5,00,000/- (Rupees Five Lakh) and up to Rs. 10,00,000/- (Rupees Ten Lakh) procurements should be made with the supplier having lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids.
- Goods above Rs.10,00,000/- (Rupees Ten Lakh) and up to Rs. 25,00,000/- (Rupees Twenty-Five Lakh) procurements should be made with the supplier having lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids and on recommendation by Purchase committee, it should finalised by the Trust.
- Goods above Rs. 25,00,000/- (Rupees Twenty-Five Lakh) should be purchased through the supplier having lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids, using online bidding or reverse auction tool provided on GeM after review and recommendation by Purchase committee it should be finalized by Trust.
- Open and Advertised Tender Enquiry may also be adopted in other cases on one or more of the following considerations:
 - i. A list of a sufficient number of prospective bidders is not available for the Limited Tender Enquiry.
 - ii. Advertising is expected to elicit better responses.
 - iii. The known suppliers are suspected to have formed a ring/ cartel.
 - iv. It is not possible to freeze the technical specifications.
 - v. To generate more competition for quality and price.
 - vi. For retendering in case of less than required bids.
- Open Tender Enquiry may also be made by hosting the tender on the Trust website and uploading the tender in the Central Public Procurement Portal (CPPP), an initiative of the Government of India

maintained by NIC through e-tendering. Tenders can also be hosted at Public Tender Sites / or other websites that publish tenders free of cost. Tenders valued more than Rs.5,00,000/- (Rupees Five Lakh) are to be advertised through at least two widely circulated newspapers, one in English (Deccan Herald) and another in Kannada (Prajavani).

- i. At least twenty-one days' time shall be allowed for submission of bids unless a shorter duration is approved by the competent authority in case of urgent requirement.
 - ii. The number of qualified bidders shall be not less than three for award of contract to the successful bidder.
- In case of less than three qualified bidders, the items shall be re-tendered once more through Open Tender. The contract may be awarded to the successful bidder even if the qualified bidders are less than three in the re-tendering process, on the recommendation of the Purchase Committee after obtaining the concurrence of the User Department regarding the quality of the goods and price.
 - All interested parties should be allowed to bid for the tender and pre-qualification criteria should be used to determine eligible tenders. Invitations to bid should be advertised on the Trust's website and e-procurement portal.
 - The deadline for submission of bids should be at least thirty (30) days from the date of tender. Extension of the deadline for submission of tender should not be allowed without prior concurrence of the Trust. Re-tendering should not be carried out without the prior concurrence of the Trust.

13.13.4 Purchase under rate contract

The Purchase Department shall maintain rate contracts for goods and services of standard types, which are identified as items of common use and are needed on a recurring basis by various Departments.

The rate contract shall be concluded either through the Market Survey, Limited Tender Enquiry or Open Tender Enquiry as may be applicable based on the estimated cost of procurement in a financial year based on the estimated consumption.

The user department shall prepare and maintain a list of items in broad Groups to ascertain the estimated consumption and total estimated cost thereof in a financial year to decide the mode of procurement and maintaining the rate contract. For example – stationery, paper, envelopes, computer stationery, photocopy paper, pens, pencils etc.

Rates should be finalized at least for one year, but the rates should also be monitored for any downward revision. In case of downward revision, the rates should be re-decided.

13.13.5 Institutional Purchase Committee

Purchase of goods valued above Rs.10,00,000/- (Rupees Ten Lakh) and up to Rs.25,00,000/- (Rupees Twenty-Five Lakh) only on each occasion may be made on the recommendations of duly constituted purchase committee consisting of Five members as follows:

- Secretary/Managing Trustee - Chairman
- Treasurer of the Trust
- Administrator
- Head of the Institution.
- Head of User Department and
- The committee will review the bids provided to the committee and based on the reasonableness of rate, quality, specifications and reputation of the supplier, finalize and recommend the bids to the Trust for final approval.

- **Market-Intelligence Cell**

The Trust should constitute a committee named as 'Market-intelligence cell" comprising of experts in the field of procurement and finance to ensure that the cost incurred for a particular procurement is not unreasonable and to ensure that rates are lesser than in the market.

- **Samples Review**

The Purchase Committee must review the samples submitted by bidders for the specifications mentioned in the tender booklet and the confirmation of the specifications should be recorded in a register for future use. The register for accepting the samples of the specified goods should be signed by

the chair person of the concerned committee. All samples are to be delivered to the department concerned with Tender/bid documents. Where goods are supplied they should be verified with the samples for quality.

13.13.6 IMPORTANT TERMS AND CONDITIONS TO BE INCORPORATED IN THE TENDER DOCUMENT

- **Deposit Account (Guarantees) for Bids**

EMD documents must be delivered to the Finance manager who must sign on the minutes' paper on the same day or on the following day to indicate that he/she has reviewed the deposits mentioned in the minutes and that such deposit has been recorded in the deposits account.

A bid must be accompanied by a Deposit (guarantee) of not less than 2% of the total value of the bid. Such Deposit may be in the form of a bank guarantee free of any restrictions or conditions and by which the bank concerned undertakes to pay as per order of the Trust an amount equal to the value required as per the Tender Booklet.

- **Bid Modification**

Any bid or modifications to it that arrive after the fixed date of disclosure are not to be considered even if such modifications are issued by the concerned bidder on a date before the date of disclosure of bids. However, delays in the submission of bids or their modifications may be considered in cases of bids that are sent via mail and such bids or modifications should be received by the committee before the committee finishes disclosure of envelopes provided that the delay has occurred for reasons beyond the control of the bidder and that the late arriving bid is in the interests of the Trust. In case a bid arrives after finishing the disclosure of envelopes, such a bid should be rejected.

- **Review of Bids**

The committee should assign one or more senior employees to review all the submitted bids before their contents are made into lists. Such employees should put their signatures to signify that a review has taken place. In case a discrepancy between a unit price and the total prices of all units is found, then the unit price should be counted. Prices written in

letters are to be considered if there is a difference between prices written in letters and prices written in numbers.

- **Complaints on Management for Bids**

In case a bidder complains of the occurrence of a tangible error in the bid submitted by him/her, such a complaint should be settled by the Purchase Committee.

- **Post Disclosure-Modification of Bid**

The committee may, after disclosure of bid envelopes, negotiate with the winning bidder to make modifications to his/her bid if the committee considers that such an arrangement would serve the Trust's interests.

- **Post-Award Comparison of Bids**

The committee should make sure that lists made of the contents of the bids are identical with actual bids. The committee should check and compare samples and prices. A technical committee may be assigned the task of checking samples of bids which require such checking. The report of the technical committee should be submitted to the committee which accepts the bids.

At the time when bids are decided upon, the committee may be guided by the latest local or foreign transacted prices. Such prices are to be stated on the lists of contents of the bids including the date of transaction. The committee may also be guided by prices in the market. It may, after consulting the concerned unit, cancel the tender or reintroduce it when the prices moderate. The committee has to state in the minutes of its meetings that all procedures have been followed and has to attach documents of the cancelled tender to the documents of the new tender.

- **Notifications**

The chairperson of the committee or whoever is acting on his/her behalf would notify the contractors and Vendors whose bids are accepted with the result of the tender within one week from the date the tender results are approved or at such other time as may be notified in the tender Booklet. Notification to include that the Trust is not legally bound by the bid unless a contract is signed.

- **Late Deposit**

In case a winning bidder is late in depositing the final guarantee within the specified period as per the notification, the party concerned with the execution may disregard that delay provided that the guarantee is submitted before the signing of the contract. Otherwise, the Trust reserves the right to reject the bid/tender and initiate other provisions as specified above.

- **Changes to Specification of Contracted Items**

In case of any change in the specifications of contracted items or works or services such matter must be submitted to the Purchase Committee by the concerned department. Revised specifications must be reviewed by the purchase committee to ascertain whether any modification of the bid is to be made and accordingly actions should be taken by the purchase committee.

- **Execution of Contracts**

The period specified for supplying items would start on the following day of notification of the contractor of the winning bid unless otherwise is agreed upon. Notification should include items, quantities, prices and dates of start and end of delivery. The period specified for execution of contracts would start on the date fixed by the purchasing committee after the site is delivered to the contractor free of any obstructions.

- **Violations of Contract Provisions**

In case a supplier or a contractor violates any of the provisions of the contract, the Trust will have the right to revoke the contract or execute the contract on his/her account. Revocation of the contract or its execution on the contractor's or supplier's own account is to be decided by the purchase committee and the contractor is to be notified of the same by a registered letter to his address. The value of the increase in prices, penalties and compensations are to be deducted from the contractor's dues to the Trust without taking any further administrative or juridical action.

- **Non-Waiver of Contract by Bidder**

The supplier or contractor should not be allowed to waive totally or partially the contract or his/her entitled dues. However, he/she may grant such dues to a bank. In such a case, the authorization of the concerned bank is to be considered as satisfying, yet the contractor remains responsible for the execution of the contract and waiving of his/her entitled dues shall not affect the duties owed by him/her to the Trust.

- **Death of Supplier or Contractor**

In case a supplier or a contractor dies, the Trust may either revoke the contract or refund the deposit if no claims exist against him/her or allow the inheritors to continue the execution of the contract if they appoint an agent to act on their behalf. In case the contract is signed with more than one supplier or contractor and one of them dies, the Trust will have the right to either revoke the contract and refund the deposit or ask the other contractors and Vendors to continue executing the contract. Revocation of contract, in all these cases, is to be made by a registered letter without resorting to any further administrative or judicial procedures.

- **Payment for Executed Quantities**

Quantities and weights stated on the price list are approximations subject to increase or decrease according to the nature of the process in question. Prices paid to a contractor are based on the actual executed quantities whether these are more or less than those stated in the quotes and drawings and whether such increase or decrease is a result of an error in counting the elementary quotes or of changes introduced to work as per the provisions of the contract taking into consideration that such differences will not affect the priorities of the contractor in making arrangements of the bid.

- **Partial Withdrawal of Products or Services by the Contractor**

In case a work is totally or partially withdrawn by a contractor, a list of the works executed, tools brought to the site and equipment which are not used are to be prepared. Such inventory has to take place within one month from the date of withdrawal of work in presence of a representative of the Trust and the contractor should be notified by a

registered letter to invite him/her or his representative to attend the inventory taking. The inventory should be recorded in the form of minutes which is to be signed by both the representative of the Trust and the contractor or whoever is acting on his/her behalf. In case the contractor is absent, or no representative is sent by him/her, then the inventory has to take place in his/her absence. In such a case, the contractor should be notified about the results of the inventory. If no comments are received from the contractor within one week of receiving the notification, then that should be considered as his/her acceptance of the data recorded in the inventory minutes. The Trust is obliged not to take any of its tools and equipment except those deemed necessary to complete the work if they are good for use.

- **Inspection**

Within a reasonable time before the end of the validity period, the contractor should notify in writing to the Trust to fix a date for inspection of the works that are implemented. Whenever it is obvious that the works are implemented according to specifications in a proper way, the final delivery should take place by virtue of official correspondence between the two parties. If it appears from inspection that the contractor has not fulfilled some obligations, the final delivery shall be postponed until such obligations are met. Whenever final delivery is made, the contractor should be paid his/her outstanding dues and be refunded the deposit or whatsoever is left of it.

- **Rejection of Work Performed or Items Produced**

In case a supplied item is rejected, the Trust should notify the supplier of the same by a letter stating reasons for rejection and that such rejected items must be withdrawn and replaced by good items.

If the supplier fails to withdraw the items within the specified period, storage fees of 1% of their value may be imposed for each week of delay for a maximum period of four weeks. At the end of the specified period, the Trust shall have the right to take action to sell these items to reimburse its costs including expenses incurred on the sale of such items.

- **Late Delivery of Service or Items**

In case a contractor has delayed in implementing a work or a supplier in delivering all or parts of required quantities on a fixed date as per the contract including against the rejected items, the department may decide, if such acceptance serves the interest of the Trust, and to allow an extra period provided that the contractor or supplier has submitted a request before the period for supplying or implementing the contract. Otherwise, a penalty of 2% of the value of delayed quantities or unfinished works may be imposed for each week of delay subject to a maximum of 10% of the value of items stated in the purchasing order or of the total value of the contract. Any part of a week beyond three weeks is to be considered a full week.

- **Removal of Supplier/Contractor from the Register**

Upon the decision of the purchase committee, a supplier or a contractor may be removed from the vendor or contractor register. The Trust should not deal with the removed vendors unless the suppliers or contractors have again followed the vendor registration process.

- **Cancellation of the Bid**

A bid/tender may be cancelled by a decision of the committee in any of the following cases:

- If all bids are collected and the committee has substantial reservations about the bid.
- The value of the lowest bid is more than the market value in accordance with the requesting departmental/unit appraisals and/or the department/and the bidder could not decrease the price in question.
- If a person requests the cancellation of a bid, then the cancellation of a bid will be made by the concerned departmental/unit committee. But, in all such cases the bidders will be notified of the cancellation through an appropriate means of communication including but not limited to public notice.
- Cancellation of a bid can occur if it is in the best interest of the Trust, in the following cases:

- If a bidder does not fulfil one or more conditions that regulate the bidding process of the Trust.
- If a bidder has implemented a previous project in an unsatisfying manner, violated conditions and/or specifications based on reports that are issued by a concerned party or Trust.
- If a dispute exists between the bidder and the Trust over a previous project, if reports indicate that the bidder is bankrupt or under insolvency, and if the bid documents are incomplete in accordance with the conditions of the bid process.
- Violating a condition of the contract/original bid without an attempt to resolve the violation where causes a financial loss or additional expense to the Trust.
- Commits an act that can affect a decision of the Trust by approving or accepting items or work that violates the law or practices prevailing in India.
- Any other reason that may be considered by the Purchase Committee to justify that the supplier or a contractor's name be written off the register and/or be prohibited from dealing with the Trust.

- **Cost of Tender document**

- The tender booklet price will not exceed Rs.500 (Rupees Five Hundred) or any other price as decided by the Trust from time to time.
- The booklets will be delivered to Vendors and contractors once they have paid the Booklet Price through cash, trust-certified cheques, or through electronic payment.

13.14 BUDGET AND BUDGETARY CONTROL

13.14.1 Budgeting

Budgeting is the process of allocating financial resources to the needs of the institution. Although budget formats and policies are by no means uniform, formal budgets play a far more important role in the planning, controlling and evaluation of the operations of institutions.

The adoption of a budget implies that a set of decisions have been made by the Board of Trustees to match institutional resources with its needs.

As such, the budget is a product of the planning process. The budget also provides an important tool for the control, evaluation and use of resources. The Finance manager would evaluate the budget and the performance with actuals and report the variations to the Administrator.

13.14.2 Types of Budgets

The Budget consists of the Revenue Budget and Capital Budget separately. The surplus of the revenue budget is transferred to the capital budget.

a. Revenue Budget

Revenues and associated expenses in the day-to-day operations of the institution are budgeted in detail and are divided into major categories such as fees from students, employee benefit expenses, administrative expenses and other expenses.

b. Capital Budget

Capital budgets are typically for purchases of fixed assets such as buildings, computers, furniture and fixtures, equipment etc. that involve the major cash flow of the institution. The purpose of a capital budget is to allocate funds, control risks in decision-making, and set priorities.

13.14.3 Annual Budget and Interim/Revised Budget

Budgets are to be prepared after taking inputs from the user departments and consolidating them at the institutional level. A consolidated budget is to be prepared at the trust level once institution-level budgets are approved by the head of the institution.

There are 2 types of budgets:

- Annual Budget
- Interim/Revised Budgets

Timelines for Budgets:

Type of Budget	Timeline for Preparation	Timeline for submission to the Board of Trustees
Annual Budget	31st January	28th February
Interim/Revised Budgets	30th September	30 th October

The budgets are approved by the Board of Trustees and are included in the accounting software to ensure that the expenses are well within the budget. Annual budgets are to be reviewed by the appropriate authority before submission to the Board. Further, the annual budgeting process should ensure a mechanism for cost reduction and control.

Budget Period

The Finance manager should prepare the budget for the financial year from April to March. For example, the budget for 2023-2024 should be prepared and submitted to the Board of Trustees before February 2023.

Budget Preparation

The budget should be prepared by taking all input from user departments within the institution. At the institutional level, the following individuals are to be involved in the budget preparation process:

- Principal
- Administrator
- Finance Manager
- Internal Auditor
- Accountants

13.14.4 Revenue estimates and receipts:

- The Board of Trustees approves the annual tuition and other fee. Fee may be approved for a single fiscal year or for a multi-year period. Prior to finalizing rates, consideration must be given to several factors such as comparative fees in similar institutions, student enrollments, anticipated cost increases, economic indicators and strategic plan goals.
- Post finalization of tuition fees budget, budgets for other income shall be prepared. The Board of Trustees shall decide the rates of other income such as rents, etc.
- In case of any increase in investment, increased income from investments shall be considered.
- Apart from this, any grant that is expected to be received during the year shall be considered.
- The head of the institution shall provide their input on the anticipated revenue for that year. Estimates shall be based on - Average revenue earned per year for the past 5 years, Revenue earned in the most recent fiscal year, factors that may impact revenues for better or worse and efforts to improve visibility and enhance the quality of programs.
- Accurately framing the estimates of receipts, as also the financing of the program of expenditure of the various departments depends on the forecast.

13.14.5 Estimates of Ordinary Expenditure

- Consider items of expenditure that can be foreseen and are important for the normal functioning of any department. Remove all expenditures which are redundant and are no longer required. Remove all expenditure heads that have no expenditure in the previous year's budget utilization wherever possible. Make provisions for all items that can be foreseen; however, restrict the amount of provision to the absolute minimum necessary.
- While considering the anticipated recurring expenses, a percentage increase in the expenditure compared to previous financial years shall be considered. For instance, increase in salary cost due to increase in salary.

- Seek justification for the foreseen expenditure and wherever the justification is not satisfactory eliminate the amount from the estimated figures

13.14.6 Estimates of Capital Expenditure

- Gather detailed information of all the capital expenditure that are proposed in the current year and include the same in budget. To avoid revision in the budget, capture the data of the capital expenses accurately.
- Highlight the timelines on which funds are required for the project to organize finances in a timely manner.
- Capital expenditures shall be reviewed in 2 stages – Firstly, are these necessary and feasible? Secondly, are they on priority compared to other expenditures?
- Budget shall be allocated to the first category and any excess funds available shall be allocated to the second category.

13.14.7 Budget Process

- It is the policy of the Trust to prepare a budget annually and monitor it on a quarterly basis.
- The Finance Department gathers all information required for the preparation of the budget from all user departments which includes a narrative explanation of the requirements and the amount and prepares the first draft of the budget.
- After appropriate revisions and a compilation of all department budgets, a draft of the Trust-wide budget is prepared and compiled by the Internal Auditor as a comprehensive Budget for the Trust and presented to the Finance Manager.
- After the review by the Finance Manager, it is submitted to the Administrator and in turn to the Secretary for discussion, revision, and initial approval.
- The final draft is then placed before the Board of Trustees for approval and adoption.

- The Trust will adopt the final budget 30 days before the beginning of the Trust's financial year. The purpose of adopting a final budget well before the fiscal year is to allow adequate time for the Finance department to include the budget into the accounting system and establish appropriate accounting and reporting controls and to ensure proper classification of activities. Budgetary controls are established so that budgeted versus actual expenses can be recorded and presented to the Board on a regular basis.

13.14.8 Monitoring Performance

It is the policy of the Trust to monitor the revenue and capital budget on a concurrent basis by the Finance Manager and the Internal Auditor. No expenses are to be incurred without having the budgeted amount. Financial reports comparing year-to-date revenues and expenses with budgeted year-to-date amounts should be prepared and submitted to the Administrator for his review on a quarterly basis. Administrator should forward the same to Secretary.

Budget Modification

After the budget has been approved by the Board of Trustees and adopted by the Trust, reclassification of the revenue budget within the institution may be made by the Administrator. Capital budget's reclassification can be made by the Trust.

Corpus Fund

Corpus fund is a type of investment fund aimed to provide cash flow comfort to the management to offset unseasonal cash flow affecting the operations of the institutions.

Contingency Fund

Contingency fund is the fund to be used in case of emergency situations as defined by the Budget Committee. In case of an emergency, the respective department head sends a contingency fund usage request to the Budgeting & Planning wings.

Unexpected Expenditure

Unexpected expenditure should be kept to as minimum as possible. In exceptional cases, if any unexpected expenditure is incurred, the same shall be done only with the prior approval of the Trust.

The delegation of Powers from the Trust to various authorities is as in Annexure I.

PVP Welfare Trust - Delegation of Powers							
Sl.No	Particulars	Type of Expenditure	Limit**	Accountant	Internal Auditor	Accounts Officer	Approval Authority
1	Employee Benefits Expenditure (Mandatory Expenses)	1.Salary of Aided and Unaided staff 2. Payment of Remuneration and Honorarium 3. All Statutory payments like EPF, ESI, Professional Tax, Income Tax, TDS and other salary deductions. 4.All retirement benefits like Gratuity,EL and other benefits.	No Limit	Preparer	Verifier	Reviewer	Administrator/ Principal
2	Administrative Expenditure (Mandatory Expenses)	1.Electricity Payment(BESCOM) 2. Security and House Keeping Charges 3. Telephone and Internet Charges 4.Property Tax 5.Renewal and affiliation fees	No Limit	Preparer	Verifier	Reviewer	Administrator/ Principal
		6. Repair and Maintenance Charges 7. AMC and Renewal Charges 8. Advertisement Charges 9. Office & Departmental Contingency 10. News paper Charges 11. Consumable / Printing & Stationery	Upto Rs.1 Lakhs for the month and Maximum 12 Lakhs Per Annum.	Preparer	Verifier	Reviewer	Administrator/ Principal
3	Specific Grants	1. All grants payment like AICTE, VGST, VTU and KSCST, MODROB and other funding agencies.	No Limit	Preparer	Verifier	Reviewer	Administrator/ Principal
4	Adademic Expenditure	1. Library Books/ Journals and Magazines 2. Laboratory Expenses 3.Examination Expenses 4.Reserach and Development Expenses 5. Sports Expenses 6. Seminar and Webinar Expenses 7.Workshops and Conferences Expenses 8. Meeting Expenses 9. Uniform Expenses 10.All events and Cultural Activities Expenses.	Upto Rs.1 Lakhs for the month and Maximum 12 Lakhs Per Annum.	Preparer	Verifier	Reviewer	Secretary
5	Development Expenditure	1. Civil Works and Eletrical works 2. Equipment 3. Furniture 4. Vechicles	Above 2 Lakhs	Preparer	Verifier	Reviewer	Secretary/ Board of Trustees

Note:

The above limits are subject to Provision in the Budgeted Expenditure as approved by the Trust.

The above expenditures are subject to the availability of funds.

The delegation of Powers from the Trust to various authorities.

Annexure I

Annexure II
Dr. AMBEDKAR INSTITUTE OF TECHNOLOGY

PERFORMANCE BASED APPRAISAL FORM

FOR HOD/DEAN

SELF APPRAISAL

Year of Evaluation

Emp Name :						Emp ID No:			
Highest Qualification:						Department:			
Date of Joining Dr.AIT:									
Present Position:					Held from:				
Phone No. :					Email:				
Experience:	Teaching		Research		Industry		Total		Total Experience at Dr.AIT
Salary Details:	Basic	DA	AGP	HRA	CCA	Other Allowance		Gross Salary	
I. COURSE FEEDBACK, RESULTS AND AVERAGE MARKS (MAXIMUM SCORE: 45)									
Sl No	Courses handled during ODD Semester	Students' Feedback %			Final Results			Average Marks	
		1st Round	2nd Round	Average	Number Appeared	Number Passed	% of Passes	Max Marks	Marks obtained
1									
2									
3									
4									
5									
6									
Sl No	Courses handled during EVEN Semester	Students' Feedback %			Final Results			Average Marks	
		1st Round	2nd Round	Average	Number Appeared	Number Passed	% of Passes	Max Marks	Marks obtained
1									
2									
3									
4									
5									
6									
Score from Feedback: (Maximum Score: 20)					Score from Results: (Maximum Score:20)			Score from Avg Marks (5)	
TOTAL SCORE FROM COURSE FEEDBACK, RESULTS AND AVERAGE MARKS (MAXIMUM SCORE: 45)									
II. RESEARCH & DEVELOPMENT AND CONSULTANCY (MAXIMUM SCORE: 30)									
Workshops/FDP attended (Enter No. of Days)	State level -0.5m/day	National/International level-1m/day			Total max-5 marks				
Presentations (Invited talk/panel/keynote) (Enter No. of Session)	State level -2m/session	National level -4m/session		International level-5m/session		Total max-5marks			
Number of Online Courses Completed -5m/Course Max Score: 10 (NPTEL/ATAL/SWAYAM)					Total max-10marks				

Publications				
Number of Publications in National/International Conferences (SCOPUS/UGC list) Max Score: 08	First Author -5m/ publication	Second author - 3m/publication	Being other author -2m/publicaton	Total max-8 marks
Number of journal papers with SCOPUS/DBLP/ WOS/SCI/SCIE Publications Max Score: 12 Mention Impact Factor and Q1/Q2/Q3/Q4 category	First Authored - 10m/publicaton	Second author - 6m/publication	Being other author -4m/publicaton	Total max-12marks
Number of Books/Book chapter Published/Publication in News media Max Score: 10	Book Authored International- 10m/Book	Book Authored National- 8m/Book	Book chapter Authored International- 6m/Book Chapter	Total max-10marks
	Book chapter Authored National -4m/Book Chapter	Articles Published in International-10 m/ Article	National Media - 6m/Article	
Research Projects				
(Enter No. of Projects)	Sole Principal Investigator - 100% marks	Being first Principal Investigator - 60% marks	Being Co-Investigator - 40% marks	Total max-10marks
Internally Funded - 5m/project				
Externally Funded <5Lakhs - 5m/project				
Externally Funded >5Lakhs - 10m/project				
Consultancy Work	Upto 2 Lakhs -5marks	Upto 2-5 Lakhs -8marks	Above 5 Lakhs -10 marks	Total max-10marks
Patent (National/ International)	Granted-10marks	Published-8marks	Filed-4	Total max-10marks
Ph.D Awarded	Guide-10 Marks		Co-Guide- 7 Marks	Total max-10marks
Total Score from Research & Development/Consultancy (MAXIMUM SCORE:30)				
III. Innovative contributions to teaching learning process provide description below with Initiation, Implementation, Impact Analysis with supporting documents				
				Total max-5marks (PRINCIPAL awards marks)
IV.A. Departmental Responsibilities (Please list only those where you have made significant contribution)				
1				
2				
3				
4				
5				
6				

IV.B Institutional Responsibilities (Please list only those where you have made significant contribution)	
1	
2	
3	
4	
5	
6	
Please print the filled in document, sign it and submit it to Principal	

Signature with date

Attitude and Commitment to Departmental and Regular Teaching and Examination works:		PRINCIPAL'S MARKS
1	Contribution to Department Developmental Activites (Maximum Score: 5 marks)	
2	Attitude/Behaviour/Discipline/Punctuality (Maximum Score: 5 marks)	
3	Examination/Test duties, Question paper preparation, Evaluation Preparation of Course material and Dedicaton in conducting Theory and Laboratory classes (Maximum Score:5 marks)	
4	Contribution to Institutional Developmental Activites (Maximum Score: 5 marks)	
TOTAL APPRAISAL SCORE OBTAINED		
Brief Remarks of the Principal		
Annual Increment Approved / Not approved		
Recommended for increment 70 and above		
Recommended for promotion 80 and above		

Secretary/Managing Trustee

Principal

Dr. AMBEDKAR INSTITUTE OF TECHNOLOGY									
PERFORMANCE BASED APPRAISAL FORM									
FOR ASSISTANT PROFESSOR									
SELF APPRAISAL									
Year of Evaluation									
Emp Name :						Emp ID No:			
Highest Qualification:						Department:			
Date of joining Dr.AIT:									
Present Position:						Held from:			
Phone No. :						Email:			
Experience:	Teaching		Research		Industry		Total		Total Experience at Dr.AIT
Salary Details:	Basic	DA	AGP	HRA	CCA	Other Allowance		Gross Salary	
I. COURSE FEEDBACK, RESULTS AND AVERAGE MARKS (MAXIMUM SCORE: 50)									
Sl No	Courses handled during ODD Semester	Students' Feedback %			Final Results			Average Marks	
		1st Round	2nd Round	Average	Number Appeared	Number Passed	% of Passes	Max Marks	Marks obtained
1									
2									
3									
4									
5									
6									
Sl No	Courses handled during EVEN Semester	Students' Feedback %			Final Results			Average Marks	
		1st Round	2nd Round	Average	Number Appeared	Number Passed	% of Passes	Max Marks	Marks obtained
1									
2									
3									
4									
5									
6									
Score from Feedback: (Maximum Score: 20)					Score from Results: (Maximum Score:20)			Score from Avg Marks (Maximum Score:10)	
TOTAL SCORE FROM COURSE FEEDBACK, RESULTS AND AVERAGE MARKS (MAXIMUM SCORE: 50)									
II. RESEARCH & DEVELOPMENT AND CONSULTANCY (MAXIMUM SCORE: 25)									
Workshops/FDP attended (Enter No. of Days)	State level -0.5m/day		National/International level-1m/day				Total max-5 marks		
Presentations (Invited talk/panel/keynote) (Enter No. of Session)	State level - 2m/session		National level -4m/session		International level-5m/session			Total max-5marks	
Number of Online Courses Completed -5m/Course Max Score: 10 (NPTEL/ATAL/SWAYAM)								Total max-10marks	

Publications				
Number of Publications in National/International Conferences (SCOPUS/UGC list) Max Score: 08	First Author -5m/publicaton	Second author - 3m/publicaton	Being other author -2m/publicaton	Total max-8 marks
Number of Journal papers with SCOPUS/DBLP/ WOS/SCI/SCIE Publications Max Score: 12 Mention Impact Factor and Q1/Q2/Q3/Q4 category	First Author - 10m/publicaton	Second author - 6m/publicaton	Being other author -4m/publicaton	Total max-12marks
Number of Books/Book chapter Published/Publication in News media Max Score: 10	Book Authored International- 10m/Book	Book Authored National- 8m/Book	Book chapter Authored International -6m/Book chapter	Total max-10marks
	Book chapter Authored National -4m/Book Chapter	Articles Published In International -10 m/Article	National Media - 6m/Article	
Research Projects				
(Enter No of Projects)	Sole Principal Investigator - 100% marks	Being first Principal Investigator - 60% marks	Being Co-Investigator - 40% marks	Total max-10marks
Internally Funded - 5m/project				
Externally Funded <5Lakhs - 5m/project				
Externally Funded >5Lakhs - 10m/project				
Consultancy Work	Upto 2 Lakhs -5marks	Upto 2-5 Lakhs -8marks	Above 5 Lakhs -10 marks	Total max-10marks
Patent (National/ International)	Granted-10marks	Published-8marks	Filed-4	Total max-10marks
Total Score from Research & Development/Consultancy (MAXIMUM SCORE:25)				

III. Innovative contributions to teaching learning process provide description below with Initiation, Implementation, Impact Analysis with supporting documents	
	Total max-5 marks (HOD awards the marks)

IV.A. Departmental Responsibilities (Please list only those where you have made significant contribution)	
1	
2	
3	
4	
5	
6	
Please print the filled in document, sign it and submit it to Principal through proper channel	

Signature of the faculty with date

IV.B Attitude and Commitment to Departmental and Regular Teaching and Examination works: (2 Marks Each)		HOD'S MARKS (10)
1	Discipline/ Regularity/ Punctuality	Max Score: 10
2	Attitude / Involvement in departmental work	
3	Preparation of course material/ manuals	
4	Dedication/ Involvement in conducting the Laboratory classes	
5	Examination/Test/Evaluation (Invigilation/Q P Setting/Assessment of answer/Test books)	
Total Appraisal Score after HODs evaluation		

Brief Remarks of the HOD

Annual Increment Recommended / Not Recommended		Signature of the HOD
------------------------------------------------	--	----------------------

V. Institutional Responsibilities (Please list only those where you have made significant contribution)

1		
2		
3		
4		
5		
Contribution to Institutional Developmental Activities (Maximum Score: 10 marks)		PRINCIPAL'S MARKS
TOTAL APPRAISAL SCORE OBTAINED		
Brief Remarks of the Principal		
Annual Increment Approved/ Not Approved		
Recommended for increment 70 and above		
Recommended for promotion 80 and above		

Secretary/Managing Trustee

Principal

Dr. AMBEDKAR INSTITUTE OF TECHNOLOGY										
PERFORMANCE BASED APPRAISAL FORM										
FOR ASSOCIATE PROFESSOR/PROFESSOR										
SELF APPRAISAL										
Year of Evaluation										
Emp Name :						Emp ID No:				
Highest Qualification:						Department:				
Date of joining Dr.AIT:										
Present Position:						Held from:				
Phone No.:						Email:				
Experience:	Teaching		Research		Industry		Total		Total Experience at Dr.AIT	
Salary Details:	Basic	DA	AGP	HRA	CCA	Other Allowance		Gross Salary		
I. COURSE FEEDBACK, RESULTS AND AVERAGE MARKS (MAXIMUM SCORE: 45)										
Sl No	Courses handled during ODD Semester	Students' Feedback %			Final Results			Average Marks		
		1st Round	2nd Round	Average	Number Appeared	Number Passed	% of Passes	Max Marks	Marks obtained	
1										
2										
3										
4										
5										
6										
Sl No	Courses handled during EVEN Semester	Students' Feedback %			Final Results			Average Marks		
		1st Round	2nd Round	Average	Number Appeared	Number Passed	% of Passes	Max Marks	Marks obtained	
1										
2										
3										
4										
5										
6										
Score from Feedback: (Maximum Score: 20)					Score from Results: (Maximum Score:20)			Score from Avg Marks [5]		
TOTAL SCORE FROM COURSE FEEDBACK, RESULTS AND AVERAGE MARKS (MAXIMUM SCORE: 45)										
II. RESEARCH & DEVELOPMENT AND CONSULTANCY (MAXIMUM SCORE: 30)										
Workshops/FDP attended (Enter No. of Days)	State level -0.5m/day		National/International level-1m/day				Total max-5 marks			
Presentations (Invited talk/panel/keynote) (Enter No. of Session)	State level -2m/session		National level -4m/session		International level-5m/session			Total max-5marks		
Number of Online Courses Completed -5m/Course Max Score: 10 (NPTEL/ATAT/SWAYAM)						Total max-10marks				

Publications				
Number of Publications in National/International Conferences (SCOPUS/UGC list) Max Score: 08	First Author -5m/ publicaton	Second author - 3m/publicaton	Being other author -2m/publicaton	Total max-8 marks
Number of Journal papers with SCOPUS/DBLP/ WOS/SCI/SCIE Publications Max Score: 12 Mention Impact Factor and Q1/Q2/Q3/Q4 category	First Author - 10m/publicaton	Second author - 6m/publicaton	Being other author -4m/publicaton	Total max-12marks
Number of Books/Book chapter Published/Publication in News media Max Score: 10	Book Authored International- 10m/Book	Book Authored National- 8m/Book	Book chapter Authored International- 6m/Book Chapter	Total max-10marks
	Book chapter Authored National -4m/Book Chapter	Articles Published in International -10 m/Article	National Media - 6m/Article	
Research Projects				
(Enter No of Projects)	Sole Principal Investigator - 100% marks	Being first Principal Investigator - 60% marks	Being Co-Investigator - 40% marks	Total max-10marks
Internally Funded - 5m/project				
Externally Funded <5Lakhs - 5m/project				
Externally Funded >5Lakhs - 10m/project				
Consultancy Work	Upto 2 Lakhs -5marks	Upto 2-5 Lakhs -8marks	Above 5 Lakhs -10 marks	Total max-10marks
Patent (National/ International)	Granted-10marks	Published-8marks	Filed-4	Total max-10marks
Ph.D Awarded	Guide-10 Marks		Co-Guide- 7Marks	Total max-10marks
Total Score from Research & Development/Consultancy (MAXIMUM SCORE:30)				
III. Innovative contributions to teaching learning process provide description below with Initiation, Implementation, Impact Analysis with supporting documents				
				Total max-5 marks (HOD awards the marks)
IV.A. Departmental Responsibilities (Please list only those where you have made significant contribution)				
1				
2				
3				
4				
5				
6				

IV.B Institutional Responsibilities (Please list only those where you have made significant contribution)	
1	
2	
3	
4	
5	
6	
Please print the filled in document, sign it and submit it to Principal through proper channel	

Signature of the faculty with date

Attitude and Commitment to Departmental and Regular Teaching and Examination works: (2 Marks Each)		HOD'S MARKS
1	Discipline/ Regularity/ Punctuality	<i>Max Score: 10</i>
2	Attitude / Involvement in departmental work	
3	Preparation of course material/ manuals	
4	Dedication/ Involvement in conducting the Laboratory classes	
5	Examination/Test/Evaluation (Invigilation/Q P Setting/Assessment of answer/Test books)	
TOTAL		
TOTAL APPRAISAL SCORE OBTAINED		

Brief Remarks of the HOD	

Annual Increment Recommended / Not Recommended		Signature of the HOD
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Principal's Rating: (2.5 Marks Each)		PRINCIPAL'S MARKS
1	Involvement in academic management of the Institution	<i>Max Score: 10</i>
2	Involvement in administration of the Institution	
3	Overall discipline as expected of faculty	
4	Effectiveness of proctorship in mentoring students	
TOTAL		
TOTAL APPRAISAL SCORE OBTAINED		

Brief Remarks of the Principal	

Annual Increment Approved/ Not Approved

Recommended for increment 70 and above
Recommended for promotion 80 and above

SECRETARY/MANAGING TRUSTEE

PRINCIPAL

Dr. AMBEDKAR INSTITUTE OF TECHNOLOGY

PERFORMANCE BASED APPRAISAL FORM

SELF APPRAISAL

Instructor / Asst Instructor / Lab Assistant

Year of Evaluation

Emp Name :				Emp ID No:			
Highest Qualification:					Department:		
Date of Joining Dr.AIT:							
Present Position			Held from:				
Phone No. :			Email:				
Experience:							
Salary Details:	Basic	DA	AGP	HRA	CCA	Other Allowance	Gross Salary
Particulars						Maximum Marks	Marks Obtained
Attendance and Punctuality						15	
Effectiveness in interaction with students and involvement in conducting laboratory classes						15	
Student and Faculty feedback						20	
Understanding of the subject						20	
Maintenance of Lab Equipments						10	
Special initiatives undertaken						10	
Attendance and Work Ethics						10	
Total						100	
Recommended for increment 70% and above							
Recommended for promotion 80% and above							
RECOMMENDED/NOT RECOMMENDED							
Head of the Department				Principal			

Dr. AMBEDKAR INSTITUTE OF TECHNOLOGY**PERFORMANCE BASED APPRAISAL FORM****SELF APPRAISAL****FOR Administrative Staff**

Year of Evaluation

Emp Name :				Emp ID No:			
Highest Qualification:				Department:			
Date of Joining Dr.AIT:							
Present Position				Held from:			
Phone No. :				Email:			
Experience:							
Salary Details:	Basic	DA	AGP	HRA	CCA	Other Allowance	Gross Salary
Particulars						Maximum Marks	Marks Obtained
Attendance and Punctuality						30	
Sincerity in completion of work assigned by higher authorities						20	
Work Ethics, Leave habits and Attitude in work place						20	
Interaction with superiors and colleagues						10	
Special initiatives undertaken						10	
Improvement of skill sets						10	
TOTAL						100	
Recommended for increment 70% and above							
Recommended for promotion 80% and above							
RECOMMENDED / NOT RECOMMENDED							
Administrative Officer				Principal			

Dr. AMBEDKAR INSTITUTE OF TECHNOLOGY

PERFORMANCE BASED APPRAISAL FORM
SELF APPRAISAL

FOR HELPER / ATTENDER / PEON

Year of Evaluation

Emp Name :					Emp ID No:		
Highest Qualification:					Department:		
Date of Joining Dr.AIT:							
Present Position:				Held from:			
Phone No. :				Email:			
Experience:							
Salary Details:	Basic	DA	AGP	HRA	CCA	Other Allowance	Gross Salary
PARTICUALRS						Maximum Marks	Marks Obtained
Attendance and Punctuality / ಹಾಜರಾತಿ ಮತ್ತು ಸಮಯಪ್ರಜ್ಞೆ						20	
Sincerity in completion of work assigned by the HOD/Faculty/Higher Officers ಉನ್ನತ ಅಧಿಕಾರಿಗಳಿಂದ ನಿಯೋಜಿಸಲಾದ ಕೆಲಸವನ್ನು ಪೂರ್ಣಗೊಳಿಸುವಲ್ಲಿ ಪ್ರಾಮಾಣಿಕತೆ						30	
Work ethics and leave habbits / ಕೆಲಸದ ನೀತಿ ಮತ್ತು ರಜೆ ಹಾಕುವ ಅಭ್ಯಾಸಗಳು						20	
Behaviour towards superiors and colleagues / ಮೇಲ್ವಿಚಾರಕರು ಮತ್ತು ಸಹೋದ್ಯೋಗಿಗಳ ಜೊತೆಗೆ ವರ್ತನೆ						10	
Maintaining cleanliness of the entire Department / ಇಡೀ ಇಲಾಖೆಯ ಸ್ವಚ್ಛತೆ ಕಾಪಾಡುವುದು						20	
TOTAL						100	
Recommended for increment 70% and above							
Recommended for promotion 80% and above							
RECOMMENDED/NOT RECOMMENDED							
Foreman / Superintendent		Head of the Department / Admin Off			Principal		