

ASHOKA EDUCATION FOUNDATION, NASIK

HUMAN RESOURCE Manual

**ASHOKA EDUCATION FOUNDATION'S
(HIGHER EDUCATION)**

ISO 9001:2015

QUALITY MANAGEMENT SYSTEM

Process Manual

Human Resource Department

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HR / A	Index of Processes		
Rev: 00 Date: 26.03.2018	Clause: 4.2.3	PAGE: 01/01	

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HR/ B	List of Documents		
Rev: 00 Date: 26.03.2018	Clause: 4.2.3	Page: 01 / 01	

Document No.	Title	Rev. No.	Date	Master Copy Holder	Controlled Copy Holder
HR/D/01	List of Employees	01	25.06.2017	HR Officer	NA
HR /D/02	HR Policy	00	21.07.2016	M.R.	HR Officer.& unit incharge
HR /D/03	Recruitment & selection Policy	00	21.07.2016	M.R.	HR Officer.& unit incharge .
HR /D/04	Copy of statutes.	00	21.07.2016	M.R.	HR Officer.& unit incharge .
HR/D/05	Training Calendar-	01	25.06.2017	M.R	HR Officer.& unit incharge.

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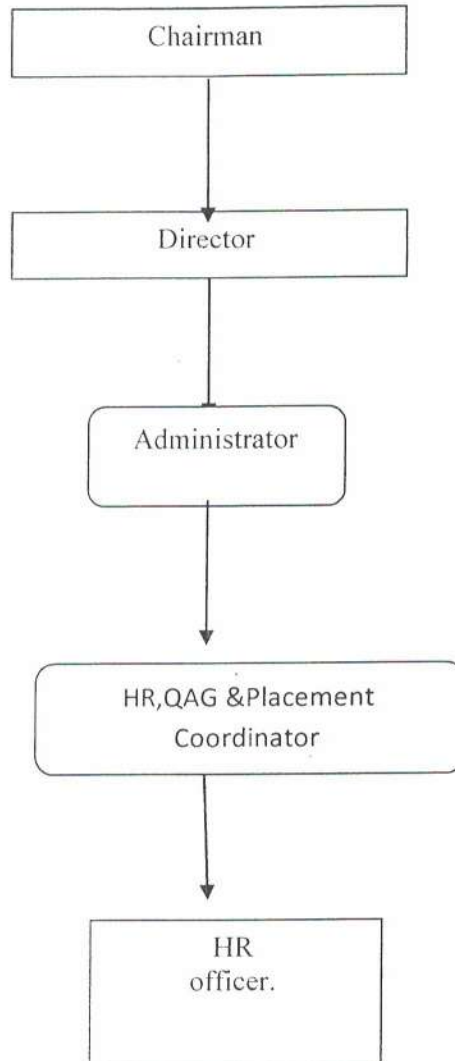
HR / C	List of Records	Page: 01 / 01
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Record No.	Title	Rev. No.	Storage Media	Responsibility	Retention Period	Disposal Method
HR/R/01	Salary Sheet	00	File	HR&accounts	Permenant	NA.
HR/R/02	Attendance musters	00	Register	Respective O.S	5 Years	Shred
HR/R/03	Salary Registers	00	File	Respective O.S	5 Years	Shred
HR/R/04	Biometric Report	00	File	HR	5 Years	Shred
HR/R/05	Leave Card.	00	File	HR	5 Years	Shred
HR/R/05A	Other Leave form	00	File	HR	5 Years	Shred
HR/R/06	Increment Letter.	00	File	HR	5 Years	Shred
HR/R/07	TA/DA Form.	00	File	HR	5 Years	Shred
HR/R/08	Advance form	00	File	HR	5 Years	Shred
HR/R/09	Employee ID application form	00	File	HR	5 Years	Shred
HR/R/10	Competency Skill Matrix	00	File	HR	5 Years	Shred
HR/R/11	Appraisal Form	00	File	HR	10 Years	Shred
HR/R/12	Training Attendance sheet	00	File	HR	5 Years	Shred
HR/R/13	Training Feedback Form	00	File	HR	5 Years	Shred
HR/R/14	Training Effectiveness Report	00	File	Unit Head	5 Years	Shred
HR/R/15	Clearance form	00	File	HR	10 Years	NA.
HR/R/15a	Clearance Certificate	00	File	HR	10 Years	NA.
HR/R/16	Statement of full and final pay ment	00	File	HR	10 Years	NA.
HR/R/17	Exit Form	00	File	HR	10 Years	NA.
HR/R/18	Employee personal file.	00	File	HR	10 Years	Shred
HR/R/19	Vacancy Chart	00	File	HR	3 Years	Shred
HR/R/20	Job Application Form	00	File	HR	5 Years	Shred
HR/R/21A	Interview Evaluation Sheet(unit Head)	00	File	HR	5 Years	Shred
HR/R/21B	Interview Evaluation Sheet(Educators)	00	File	HR	5 Years	Shred
HR/R/21C	Interview Evaluat Sheet(Admin staff)	00	File	HR	5 Years	Shred
HR/R/22	Educators Class obse. Inte. demo sheet	00	File	HR	5 years	Shred
HR/R/23	Recommendation sheet	01	File	HR	10 Years	Shred
HR/R/24	Offer Letter	01	File	HR	10 Years	Shred
HR/R/25	Appointment Letter	00	File	HR	10 Years	Shred
HR/R/25a	Appointment Retainer ON Trial Letter	00	File	HR	10 Years	Shred
HR/R/25b	Appointment Extension Letter	00	File	HR	10 Years	Shred
HR/R/25c	Appointment CHB Letter	00	File	HR	10 Years	Shred
HR/R/26	New Employee Joining Report	00	File	HR	10 Years	N.A.
HR/R/27	Joining Document Check List	00	File	HR	10 Years	N.A.
HR/R/28	New Emp. Induction Form	00	File	HR	10 Years	N.A.
HR/R/29	IT Requisition Form	00	File	HR	10 Years	N.A.
HR/R/30	Experience Certificate	00	File	HR	10 Years	N.A.
HR/R/31	Relieving Letter	00	File	HR	10 Years	N.A.
HR/R/32	Service Book	00	File	Respective O.S	10 Years	N.A.
HR/R/33	Grievance Register	00	Register	HR	3 Years	Shred
HR/R/34	Training program plan	00	file	HR	3 Years	Shred
HR/R/35	Application –police verification.	00	File	HR	10 Years	N.A.
HR/R/36	Form 16	00	File	HR	10 Years	N.A.
HR/R/37	Salary certificate	00	File	HR	10 Years	N.A.
HR/R/38	Appraisal summery unitwise	00	File	HR	10 Years	N.A.
HR/R/39a	Applicaton for Gratuity-Employee	00	File	HR	10 Years	N.A.
HR/R/39b	Applicaton for Gratuity-By Nominee	00	File	HR	10 Years	N.A.
HR/R/39c	Applicaton forGratuity-By Legal HEIR	00	File	HR	10 Years	N.A.
HR R40a	Application for FDR	00	File	HR	3 Years	Shred
HR/R/40b	FDR Form	00	file	HR	3 Years	Shred
HR R/40c	Fixed Deposit Form	00	file	HR	3 Years	Shred

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HR / D	Departmental Structure	
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HR / E	Responsibilities and Authorities		
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HR Officer			
Sr. No.	Responsibility	Interface	Authorities
01	To implement Human Resources Policies and procedures as per the direction of Administrator.	Administrator	To report
02	To recruit staff for both Admin and Academic as per the requirement placed by the Unit Head.	Unit Head, Administrator	To execute
03	To issue Appointment / Confirmation Letters with respect to standard draft.	Administrator, HR Officer	To Execute
04	To conduct Induction and orientation of Academic and Admin staff.	QAG Coordinator	To propose & execute
05	To plan and conduct various Training Program to maximize Human Resource potential with respect to Competency Matrix.	QAG Coordinator , Trainer (External / Internal)	To propose & execute
06	To listen to grievances and implementing disciplinary procedures.	Concern Staff	To report to Administrator
07	To administer salary – To prepare monthly Salary for all the employees.	Administrator	To execute
08	To conduct, provide advice and assist in staff Performance Appraisals.	Administrator QAG Coordinator	To propose
09	To execute monthly statutory compliances within the specified dates	Administrator	To execute
10	To conduct HR recreational activities like organizing picnic, etc.	Administrator	To propose
11	To report daily details to the Administrator	Administrator	To report
12	To perform any other duties assigned by the higher authority.	Administrator	To execute
13	To control the external origin documents	Assistant Registrar	To update changes.
14	To identify risk, opportunities, interested parties and their concerned.	Administrator	To identify and implement
2. OFFICE SUPERINTENDENT			
1.	Design an advt. for recruitment for various post.	Assistant Registrar	To execute
2.	Complete the recruitment process for external agencies.	Assistant Registrar	To execute
3	To identify risk, opportunities, interested parties and their concerned.	Administrator	To identify and implement

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HR / F	Quality Objectives	
Rev: 00 Date: 26.03.2018	Clause: 5.4.1	Page: 01 / 01

Input :	Quality Objectives
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Sr. No.	Activity	Responsibility	Stage Output
1	Decide the quality objectives, indicator for the objectives.	HR Officer in consultation with Administrator	Quality objectives record
2	As per decided frequency and methodology calculate the status of quality objectives.	HR Officer in consultation with Administrator	Quality objectives record
3	In the first MRM decide the targets for the functional quality objectives.	HR Officer in consultation with Administrator	Quality objectives record
4	Present the data in each MRM. In case of non-achievement of target, find the root cause & decide the suitable corrective actions along with the responsibility and date of completion.	HR Officer	Minutes of MRM

Sr. No.	Objective	Indicator	Methodology
01	To provide personnel as per requirement within specified time.	%	To calculate No . of Vacancies Vs . Actual staff employed
02	Conducting the training Programs for faculties , Admin Staff , Support Staff	%	To calculate number of Training Programs planned Vs Actual conducted as per the need identified for each individual.
03	To listen to the employee grievances and timely resolution of it.	%	To calculate No. of Grievances registered Vs. No. of Grievances resolved.
04	To disburse the salaries up to 3 rd. date of next month	Date of actual disbursement	To calculate and process the salaries considering attendance with desired salary structure of each employee in given time.

Output:	Quality objectives for Human Resource Department
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HR/PR/01	PR-1: Appointment & approval of Staff	
Rev.: 00 Date-26/03/2018		Page: 01 / 01

Sr. No.	Description	Particulars
1.	Process: 1: Academic Year Planning	Clauses: 5.2.1 & 6.2.2
2.	Rev.:	00
3.	Date:	26.03.2018
4.	Context of Organization (Interested parties requirement):	External -University / UGC, AICTE, any other Statutory Body Candidate, Job Portal, Placement agencies, Advt. Publisher Selection Committee Members etc. Internal – All units of AEF, HE, Management.
5.	Scope:	Vacancy chart of units
6.	Purpose:	To recruit staff as per requirement.
7.	Ownership (Accountability)	Administrator
8.	Objectives:	<ol style="list-style-type: none"> 1. To provide staff as per vacancy chart. 2. To Appoint & get approval of staff as per UGC norms
9.	Resources:	Advertisement, Placement agencies, Job Portal, Necessary admin support ,Budget, selection committee
10.	Input (Material, product, documented information etc.)	University norms, Vacancy chart, List of candidates, List of selection committee members.
11.	Process Controls	<ol style="list-style-type: none"> 1. Suitable candidates 2. Qualified selection committee. 3. HR policy / UGC policy.
12.	Activity	<p>A) Defining competencies of staff for each level.</p> <ol style="list-style-type: none"> 1. Define positions needed for teaching and non-teaching staff 2. Define education, experience, training and skills needed for each position in competency matrix 3. Ensure that selection and appointments are carried out as per competency matrix. 4. For present employees compare the data with competency matrix & identify the gap, to identify the training needs. 5. Provide training as per competence, awareness and training process <p>B) Appointment & Approval of Staff members</p> <ol style="list-style-type: none"> 1. Collection of data from concern Head of Institute/ College about vacancies along with eligibility conditions mentioned by statutory body 2. Data submission to management and taking approval of management for publication of advertisement for open positions. 3. Inform to University regarding non applicability of roaster verification. (Roaster not applicable due to Minority Institute) 4. To make or design / layout of an advertisement. 5. Call for quotation & make work order to publish advertisement in newspapers as per norms.

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		<ol style="list-style-type: none"> 6. To upload copy of application form for applicant and details of qualification required for the post along with advertise no. on concerned website 7. Inward all applications 8. Correspondence with Tribal department, Social Welfare department and employment exchange, University reservation /special cell for list of eligible candidates. 9. Appointment of Staff selection committee as per norms 10. Finalize date of Interviews with the concern of Committee members. 11. Send letters to of selection committee members about the schedule of interview 12. Prepare a list of shortlisted candidates 13. Send call letter to shortlisted candidate about interview schedule in prescribed format by Register or Speed post at least before 15 days of interview 14. Verification of original documents at the time of interview 15. Attendance sheet of all present candidates 16. Make selection committee report in prescribed format with selection committee member's signature 17. Submission of committee report within 72 hrs. to University 18. Issue offer letter/appointment letter to selected candidates specifying them all policies. 19. Accept joining report from appointed candidates. 20. Create a personal file of candidate 21. Filling staff approval form as prescribed by University 22. Submission of staff approval form to University for approval. 23. Follow up to the University for approval letter 24. After receiving approval letter make a three copies for submission as follow as <ul style="list-style-type: none"> - Head Office - Staff Personal File - To concerned file 																
13.	Responsibility Process providing input-	HR Officer/ OS Academic process no ----- University norms- Academic process no ----- Vacancy chart- Academic process no----- List of candidates, List of selection committee members.																
14	Stage Output	List of Appointed staff with their Appointment & Approval letter																
15	Outputs goes as input to Process	List of Appointed staff with their Appointment & Approval letter given to Academic process no -----																
16	Risks: Risk of Unintended Outputs / Results and RPN	<table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="width: 60%;">Risks</th> <th style="width: 15%;">Severity</th> <th style="width: 15%;">Occurrences</th> <th style="width: 10%;">RPN</th> </tr> </thead> <tbody> <tr> <td>1) Deviation and non compliance of academic activities</td> <td>4</td> <td>4</td> <td>16</td> </tr> <tr> <td>2) Non-compliance of statutory requirements .</td> <td>3</td> <td>4</td> <td>12</td> </tr> <tr> <td>3) Low SSI</td> <td>3</td> <td>4</td> <td>12</td> </tr> </tbody> </table>	Risks	Severity	Occurrences	RPN	1) Deviation and non compliance of academic activities	4	4	16	2) Non-compliance of statutory requirements .	3	4	12	3) Low SSI	3	4	12
Risks	Severity	Occurrences	RPN															
1) Deviation and non compliance of academic activities	4	4	16															
2) Non-compliance of statutory requirements .	3	4	12															
3) Low SSI	3	4	12															

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17.	Risk Level A(OFI) / Non A(NC)	1.NA 2. 3.
18	Occurrence-No of planned activities	1) Ending of current year, next year plan is ready for approval from management/authority. 2) If someone leave the job. (Voluntary or compulsory) 3) Addition of new course. 4) Formation of extra batches.
19	Opportunities:	1) Provide manpower as expected as given time.
20	Action Plan	1.Tieyap with job portal 2.Proper formation of selection committee 3. proper documentation of selection committee 4. recruitment of extra manpower for recruitment process
21	Applicability	All Units

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HR/PR/02	PR-2: Personnel Record of Employees	
Rev.: 00 Date-26/03/2018		Page: 01 / 01

sr. No.	Description	Particulars
1.	PR-2: Personnel Record of Employees	Clauses: 6.2.2
2.	Rev.:	00
3.	Date:	26.03.2018
4.	Context of Organization (Interested parties requirement):	University / NCTE, UGC, AICTE, DTE, DHE, any other Statutory Body.
5.	Scope:	Use of data for various communications with individual and institutional agencies.
6.	Purpose:	To use the information for various purposes like – Individual Correspondence , University and other various agencies and for service book details.
7.	Ownership (Accountability)	HR Officer in consultation with Unit Head, Administrator, Admin Officer
8.	Objectives:	1.To maintain the Updation of the personnel record.
9.	Resources:	Individual employee, Regulatory agencies and Organisation.
10.	Input (Material, product, documented information etc.)	Documents given by employee, correspondence with regulatory agencies and achievement of employee during service tenure.
11.	Process Controls	Proper maintenance, keeping record of individual employee with respect to organisational, statutory, individual requirements.
12.	Activity	<ol style="list-style-type: none"> 1. Collection of Documents:-At the time of joining, all the personal details and records are collected. All the documents of the employees are kept confidential. 2. At the time of joining of new employee an Appointment Letter to be issued. Which contains the details such as Post (Designation), Salary offered, Terms & Condition of Employment, Probation Period. 3. All the personal files to be kept in a separate place and to be timely updated as per the changes ,e.g.- Updating the Educational Details Increment, Promotion, Memo Letters and Clearance documents 4. Handover the copy of Personal File of employee to respective unit. 5. If the employee leaves the organisation, the personal file will be handed over to HR Department for F & F processing and permanent storage.
13.	Responsibility	HR Officer
14.	Process providing input-	Personal Files, Joining Check List
15.	Stage Output	Updated Personal Record
16.	Outputs goes as input to Process	All Processes of Academic, Admin, Library, QAG, HR, Purchase and Stores.

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17.	Risks: Risk of Unintended Outputs / Results and RPN	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Risks</th> <th style="width: 15%;">Severity</th> <th style="width: 15%;">Occurrences</th> <th style="width: 10%;">RPN</th> </tr> </thead> <tbody> <tr> <td>1. Incorrect & insufficient information to units (for statutory & admin purpose) & Individual.</td> <td style="text-align: center;">4</td> <td style="text-align: center;">4</td> <td style="text-align: center;">16</td> </tr> <tr> <td>2. Non accessibility of the records when required.</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">12</td> </tr> </tbody> </table>				Risks	Severity	Occurrences	RPN	1. Incorrect & insufficient information to units (for statutory & admin purpose) & Individual.	4	4	16	2. Non accessibility of the records when required.	3	4	12
		Risks	Severity	Occurrences	RPN												
		1. Incorrect & insufficient information to units (for statutory & admin purpose) & Individual.	4	4	16												
2. Non accessibility of the records when required.	3	4	12														
18.	Risk Level A(OFI) / Non A(NC)	NA															
19.	Occurrence-No of planned activities	During recruitment and as an when required.															
20.	Opportunities:	<ol style="list-style-type: none"> 1. Perfect availability of data individual and organisation functioning 2. Correct analysis of an individual performance. 															
21.	Action Plan	Periodical review of individual files.															
22.	Applicability	All Units															

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HR/PR/03	PR-3: Induction Process
Rev.: 00 Date-26/03/2018	Page: 01 / 01

Sr. No.	Description	Particulars												
1.	PR-3: Induction Process	Clauses: 6.2.2												
2.	Rev.:	00												
3.	Date:	26/03/2018												
4.	Context of Organization (Interested parties requirement):	University / NCTE, UGC, AICTE, DTE, DHE, any other Statutory Body.												
5.	Scope:	Create awareness about organisation, vision and process												
6.	Purpose:	To make employee aware about organisation, authority and responsibility, coordination with various department.												
7.	Ownership (Accountability)	HR Officer in consultation with Unit Head, Administrator, Admin Officer												
8.	Objectives:	1.To update the new employee for the knowledge of organisation ,culture,responsibilities and authorities.												
9. T	Resources:	Organisation (HR Department) and various units and section of organisation.												
10.	Input (Material, product, documented information etc.)	Induction schedule, prepared presentation by resource person on identified topics on induction program, induction kit inclusive of joining letter, appointment letter, rules and regulation, identity card, e-mail id.												
11.	Process Controls	Individual employee having awareness with respect to organisational, statutory & individual agencies, information.												
12.	Activity	1.Collection of Documents:-At the time of joining, all the personal details and records are collected. All the documents of the employees are kept confidential. 2.At the time of joining of new employee an Appointment Letter to be issued. Which contains the details such as Post (Designation), Salary offered, Terms & Condition of Employment, Probation Period. 3.All the personal files to be kept in a separate place and to be timely updated as per the changes ,e.g.- Updating the Educational Details Increment, Promotion, Memo Letters and Clearance documents 4.Handover the copy of Personal File of employee to respective unit. 5. If the employee leaves the organisation, the personal file will be handed over to HR Department for F & F processing and permanent storage.												
13.	Responsibility	HR Officer , QAG Coordinator												
14.	Process providing input-	New recruitments												
15.	Stage Output	Trained newly joined employee.												
16.	Outputs goes as input to Process	All Processes of Academic, Admin, Library, QAG, HR, Purchase and Stores.												
17.	Risks: Risk of Unintended Outputs / Results and RPN	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Risks</th> <th style="width: 15%;">Severity</th> <th style="width: 15%;">Occurrences</th> <th style="width: 10%;">RPN</th> </tr> </thead> <tbody> <tr> <td>1.Non Awareness of policies and culture of an organisation to employee.</td> <td style="text-align: center;">4</td> <td style="text-align: center;">4</td> <td style="text-align: center;">16</td> </tr> <tr> <td>2.Lack of awareness about new employee to the team and unit may affect the teamwork and unit goal.</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">12</td> </tr> </tbody> </table>	Risks	Severity	Occurrences	RPN	1.Non Awareness of policies and culture of an organisation to employee.	4	4	16	2.Lack of awareness about new employee to the team and unit may affect the teamwork and unit goal.	3	4	12
Risks	Severity	Occurrences	RPN											
1.Non Awareness of policies and culture of an organisation to employee.	4	4	16											
2.Lack of awareness about new employee to the team and unit may affect the teamwork and unit goal.	3	4	12											

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18.	Risk Level A(OFI) / Non A(NC)	NA
19.	Occurrence-No of planned activities	During recruitment and as an when required
20.	Opportunities:	1. Perfect availability of data individual and organisation functioning 2. Employee Individual performance.
21.	Action Plan	Review of induction process and training session.
22.	Applicability	All Units

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HR/PR/04	PR-4: Leave management	
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Sr. No.	Description	Particulars
1.	PR-4: Leave management	Clauses: 6.2.2
2.	Rev.:	00
3.	Date:	26/03/2018
4.	Context of Organization (Interested parties requirement):	University / Employees
5.	Scope:	Create awareness about leave facility to individual employee
6.	Purpose:	Statutory compliances and maintained individual employees record
7.	Ownership (Accountability)	HR Officer, Unit Head, Admin Officer, Employees
8.	Objectives:	1.To Maintain the updated record of all employees which can be used for various purpose.like salary disbursement,academic planning,appraisal.
9.	Resources:	Existing and new recruited employee, management and administration.
10.	Input (Material, product, documented information etc.)	Duly filled Leave cards, HR and Leave Policy, Updation of record on regular basis.
11.	Process Controls	Perfect availability of leave records.
12.	Activity	<p>1.Issue leave card to all the existing employees at the beginning of the session & on the day of joining to the newly joined employees after updating the necessary details on leave card i.e. Name of the employee, Date of Joining, Designation, Date of Birth, Leave opening balance.At the time of joining of new employee an Appointment Letter to be issued. Which contains the details such as Post (Designation), Salary offered, Terms & Condition of Employment, Probation Period.</p> <p>2.Employee to ensure that leave is to be approved prior to the availing leave. In case of emergency employee can avail leave subject to post approval of sanctioned authority and it has been telephonically informed to their respective heads/HR. Handover the copy of Personal File of employee to respective unit.</p> <p>3.To update leave record every month along with the salary statement.</p> <p>4. Leaves other than regular-</p> <p>1. For more than three days leave must be filled approved by unit head submitted to HR deptt. With supporting doc. Cc to admin and academic deptt.</p> <p>2.For more than EIGHT days leave rejoining form must be filled approved by unit head submitted to HR deptt. With supporting doc. Cc to admin and academic deptt..</p>
13.	Responsibility	HR Officer , Admin Officer
14.	Process providing input-	Leave policy
15.	Stage Output	Leave record
16.	Outputs goes as input to Process	Admin – leave records, Accounts – Salary process, HR – Appraisal, Unit Head & Management – Performance.

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17.	Risks: Risk of Unintended Outputs / Results and RPN				
		Risks	Severity	Occurrences	RPN
		1) Deviation of academic activities	4	4	16
		2) Non availability of sufficient faculty for unit operation.	3	4	12
18.	Risk Level A(OFI) / Non A(NC)	NA			
19.	Occurrence-No of planned activities	Once in month			
20.	Opportunities:	<ol style="list-style-type: none"> 1. Perfect salary disbursement 2. Smooth operational functioning. 			
21.	Action Plan	<ol style="list-style-type: none"> 1. Precise leave record calculation 2. Review of employee leave card on regular basis by academic. 			
22.	Applicability	All Units			

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HR/PR/05	PR-5: Attendance & Payroll	
Rev.: 00 Date-26/03/2018		Page: 01 / 01

Sr. No.	Description	Particulars
1.	PR-5: Attendance & Payroll	Clauses: 6.2.2
2.	Rev.:	00
3.	Date:	26/03/2018
4.	Context of Organization (Interested parties requirement):	University / Employees
5.	Scope:	Maintain overall effectiveness of time keeping function and salary disbursement as per norms and capability
6.	Purpose:	To maintain accurate attendance and salary disbursement.
7.	Ownership (Accountability)	HR Officer, Unit Head, Admin Officer, IT Officer, Employees
8.	Objectives:	1.to maintain the updated records alongwith the salary disbursement. 2.To prepare and maintain the updated records for payrolls for exact disbursement given to the employees.
9.	Resources:	Attendance registers, biometric record and leave cards.
10.	Input (Material, product, documented information etc.)	Daily filled attendance register, leave cards, and biometric attendance, identify late marks and absenteeism on daily basis.
11.	Process Controls	Perfect availability of attendance register, leave cards, and biometrics attendance.
12.	Activity	<p>Attendance</p> <ol style="list-style-type: none"> 1. Employees have to punch in the bio-metric and sign the muster on daily basis as per the HR policy. Employee to ensure that leave is to be approved prior to the availing leave. In case of emergency employee can avail leave subject to post approval of sanctioned authority and it has been telephonically informed to their respective heads/HR. Handover the copy of Personal File of employee to respective unit. 2. After stipulated time collect the muster, identify the attendance with late mark, leave & absenteeism on daily basis as per the HR policy. 3. Down load monthly attendance from biometric and cross check with the muster. 4. Track late coming record, in case of more than three late marks in a month; make deduction as per the HR policy. <p>Payroll</p> <ol style="list-style-type: none"> 1. Calculate attendance considering leave & late marks. 2. Prepare a list of advances taken by the employees. 3. Receive the income tax deduction from accounts dept & mobile deduction details from admin dept. 4. Enter no. of present days & generate the salary statement. 5. Submit the salary statement to Administrator & Principal for review and after review forward the same to accounts dept duly approved by Management to release the salary. In case of query from Accounts dept. HR to comply promptly & submit the corrected statement.
13.	Responsibility	HR Officer , Admin Officer
14.	Process providing input-	Muster, Biometric record, Leave Card, Late Mark Report & Short Leave Record.,
15.	Stage Output	Timely disbursement of Salary
16.	Outputs goes as input to	Admin – leave records, Accounts – Salary process, HR – Appraisal, Unit Head &

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Process		Management – Performance.															
17.	Risks: Risk of Unintended Outputs / Results and RPN	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Risks</th> <th style="width: 15%;">Severity</th> <th style="width: 15%;">Occurrences</th> <th style="width: 10%;">RPN</th> </tr> </thead> <tbody> <tr> <td>1. Correct salaries disbursement may not take place.</td> <td style="text-align: center;">4</td> <td style="text-align: center;">4</td> <td style="text-align: center;">16</td> </tr> <tr> <td>2. Insufficient and incorrect information for statutory requirements.</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">12</td> </tr> </tbody> </table>				Risks	Severity	Occurrences	RPN	1. Correct salaries disbursement may not take place.	4	4	16	2. Insufficient and incorrect information for statutory requirements.	3	4	12
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1. Correct salaries disbursement may not take place.	4	4	16														
2. Insufficient and incorrect information for statutory requirements.	3	4	12														
18.	Risk Level A(OFI) / Non A(NC)	NA															
19.	Occurrence-No of planned activities	Once in month															
20.	Opportunities:	<ol style="list-style-type: none"> 1. Perfect calculate attendance, leave, late mark. 2. Perfect salary disbursement 3. Smooth operational functioning. 															
21.	Action Plan	1. Precise attendance record															
22.	Applicability	All Units															

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HR/PR/06	PR-6: Statutory Compliance Process	
Rev.: 00 Date-26/03/2018		Page: 01 / 01

Sr. No.	Description	Particulars
1.	PR-6: Statutory Compliance Process	Clauses: 6.2.2
2.	Rev.:	00
3.	Date:	26/03/2018
4.	Context of Organization (Interested parties requirement):	University / Employees
5.	Scope:	Compliance of PF Nomination/Transfer/PF Withdrawal forms/PF & PT Challan, Salary Sheet & ESIC Challan.
6.	Purpose:	To make compliances within time as per statutory norms.
7.	Ownership (Accountability)	HR Officer in consultation with Accounts Executive, O.S.
8.	Objectives:	1.to monitor the time to time requirements related to statutory bodies. 2.Fulfill and maintain the records for use of the office and personal use of the employee .
9.	Resources:	Receive of all statutory details from all units of AEF
10.	Input (Material, product, documented information etc.)	PF Nomination forms, Transfer form, PF Withdrawal forms, PF & PT Challan, Salary Sheet & ESIC Challan.
11.	Process Controls	Perfect compliances as per statutory norms.
12.	Activity	1.Fill up PF Nomination Forms from employees on the day of their joining. 2.Fill PF Transfer forms from employees as per their request & submitting the same to PF office for further process. 3.Compile PF contribution details for all units of Ashoka Education Foundation in the first week of every month. 4.Online upload of PF contributions details in a specified format on the EPFO website & generating PF monthly Challan on or before 15 th day of every month. 5.Fill up PF withdrawal forms (from left employees as well as for present employee) ; submit the same to PF office for full or partial withdrawal purpose. 6.Compile Professional Tax deduction details of all units of Ashoka Education Foundation. 7.Fill Professional Tax & ESIC Challan and submit on or before Desired date of every month. 8.Compile the employee details such as Date of joining, Date of Birth & salary at the beginning of the session & forward it to A/c dept. for membership under Group Gratuity scheme. 9.Maintain all registers such as Attendance Muster, Salary register, Service Book as per the statutory requirements
13.	Responsibility	HR Officer , Admin Officer
14.	Process providing input-	PF Nomination/Transfer/Withdrawal Forms, PF & PT Challan & Salary Sheet, ESIC

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		challan												
15.	Stage Output	Compliance as per statutory norms												
16.	Outputs goes as input to Process	Accounts – Salary disbursement, PF Officer – PF Calculations and disbursement. HR - DOJ, DOB, PF/ESIC No. PT records, F & F process.												
17.	Risks: Risk of Unintended Outputs / Results and RPN	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Risks</th> <th style="width: 15%;">Severity</th> <th style="width: 15%;">Occurrences</th> <th style="width: 10%;">RPN</th> </tr> </thead> <tbody> <tr> <td>1.Non compliance may lead to payment of fine to statutory bodies.</td> <td style="text-align: center;">4</td> <td style="text-align: center;">4</td> <td style="text-align: center;">16</td> </tr> <tr> <td>2.Delay in the settlement of the individual employees.</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">12</td> </tr> </tbody> </table>	Risks	Severity	Occurrences	RPN	1.Non compliance may lead to payment of fine to statutory bodies.	4	4	16	2.Delay in the settlement of the individual employees.	3	4	12
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18.	Risk Level A(OFI) / Non A(NC)	NA												
19.	Occurrence-No of planned activities	Once in month												
20.	Opportunities:	<ol style="list-style-type: none"> 1. Timely compliances and avoid late fees/penalties and delay of payment. 2. Smooth functioning of statutory compliances 												
21.	Action Plan	To compliance of all types of claims of statutory within time.												
22.	Applicability	All Units												

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HR/PR/07	PR-7: Performance Appraisal System	
Rev.: 00 Date-26/03/2018		Page: 01 / 01

Sr. No.	Description	Particulars
1.	PR-7: Performance Appraisal System	Clauses: 6.2.2
2.	Rev.:	00
3.	Date:	26/03/2018
4.	Context of Organization (Interested parties requirement):	University / Employees
5.	Scope:	Evaluation of an individual with respect to acquaints of knowledge using for organisation purpose
6.	Purpose:	Evaluate the performance of individual and compensate on financial and non-financial basis.
7.	Ownership (Accountability)	HR Officer, Administrator, OS, Unit Head .
8.	Objectives:	1.To do the evaluation of the performance of employee. 2.Provide the exact details to user department the details about the performance of individual.
9.	Resources:	Existing employee, Unit Head, HOD, Principal, Administrator & Director.
10.	Input (Material, product, documented information etc.)	Appraisal forms, Observation Sheet, Increment Sheet.
11.	Process Controls	To maintain perfect record as per appraisal norm
12.	Activity	<p>1.The Performance Appraisal will be taken in two folds viz.- For academic performances of educators & secondly performance appraisal of non-teaching & non-academic staff. In prescribed formats..</p> <p>2.Yearly appraisal systems to be conducted in both the cases.</p> <p>3.In case of teaching staff, respective Unit Head will generate evaluation report and send detailed appraisal report and evaluation report of the educators to HR dept.</p> <p>4.Continual appraisal system only applicable to the employees enrolled in muster and not applicable to the employees enrolled on card.</p> <p>5.Compile all the appraisals report collected during the year & prepare a final statement of performance rating of all the employees in the month of May for onward submission to Administrator and Director in respective cases.</p> <p>6:This statement will be reviewed by concerned head & will form the basis of annual increments subject to discretion of the management.</p> <p>7.While deciding the final increment, prepare the increment proposal in prescribed format and submit it for finalization to Unit Head.</p> <p>8.Unit Head will recommend the final increment proposal to the management along with the comparison of statistics for previous year.</p> <p>9.Management in consultation with Hon. Chairman will accord the final approval. Ensure the distribution of Increment letters accordingly.</p> <p>10.In case of any discrepancies/error. ensure the closure of the same by</p>

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		approaching concerned authorities, making necessary corrections and communicating the same to the concerned staff. 11. Send one copy of finally approved statement to A/c Head & Budget head for their information & subsequent up-gradation in budgets as well as salary statement.												
13.	Responsibility	HR Officer, Admin Officer												
14.	Process providing input-	Observation Sheet, Performance Appraisal Format, Increment Sheet												
15.	Stage Output	Timely & Systematic appraisal of employees												
16.	Outputs goes as input to Process	Academic – Work Allocation, Admin – Infra arrangement, Accounts – Salary disbursement, HR- Salary Calculation.												
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18.	Risk Level A(OFI) / Non A(NC)	NA												
19.	Occurrence-No of planned activities	Once in a year.												
20.	Opportunities:	<ol style="list-style-type: none"> 1. Smooth functioning 2. To avoid discrepancies/error 3. Motivate and improve performance of employee. 												
21.	Action Plan	Timely execution of appraisal forms and implementation.												
22.	Applicability	All Units												

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HR/PR/08	PR-8: Competence, Awareness and Training	
Rev.: 00 Date-26/03/2018		Page: 01 / 01

Sr. No.	Description	Particulars
1.	PR-8: Competence, Awareness and Training	Clauses: 6.2.2
2.	Rev.:	00
3.	Date:	26/03/2018
4.	Context of Organization (Interested parties requirement):	University / Employees
5.	Scope:	Development of employee and organisation.
6.	Purpose:	Evaluate competence of employee, identify the gap and convert gap into the specific training program.
7.	Ownership (Accountability)	HR Officer, Unit Head, Administrator,
8.	Objectives:	<ol style="list-style-type: none"> 1. To identify the core competence of the employee 2. To identify the training needs . 3. To provide the training to employee required to facilitate their performance.
9.	Resources:	Employees, Administrator, Unit Head and HR
10.	Input (Material, product, documented information etc.)	Training Calendar, List of Competency.
11.	Process Controls	To maintain competency matrix record and training
12.	Activity	<ol style="list-style-type: none"> 1.Refer competency matrix & prepare list of employees as per the format. At the beginning of the academic year 2.Compare the competency matrix & list of employees for each unit before commencement of Academic Year to identify the gaps. 3.Convert the gaps into specific training needs for each employee. 4. Based on training needs prepare Training Calendar for Academic Year. <ol style="list-style-type: none"> A.shortlist the trainer within expertise and approve .fix up the schedule and training calendar for the academic year. B, Take all details like contents ,target participants(who),list of points for checking effectiveness, frequency of effectiveness evaluation. 5.Conduct the trainings as per training calendar for the participants & maintain training records .1.Maintain training record, prepare comparison of status of training imparted .2.Reschedule the training level after evaluation. For Admin, educators,support staff ,= unit specific requirement. 6.Assess the effectiveness of training conducted. If not found effective provide re-training. 7At the end of the year review training calendar v/s training conducted.

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		8.In case of any training is not conducted, re-schedule the training in next training calendar.												
13.	Responsibility	Administrator, HR, Unit Head, QAG												
14.	Process providing input-	Training Needs Identification, Annual Training Plan, Feedback & Training Effectiveness												
15.	Stage Output	Training Effectiveness												
16.	Outputs goes as input to Process	Performance appraisal system.												
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18.	Risk Level A(OFI) / Non A(NC)	NA												
19.	Occurrence-No of planned activities	As per training plan.												
20.	Opportunities:	<ol style="list-style-type: none"> 1. Smooth functioning 2. To avoid discrepancies/error 3. Motivate and improve performance of employee 												
21.	Action Plan	Timely execute training program as per scheduled												
22.	Applicability	All Units												

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HR/PR/09	PR-9: Termination Process	
Rev.: 00 Date-26/03/2018		Page: 01 / 01

Sr. No.	Description	Particulars
1.	PR-9: Termination Process	Clauses: 6.2.2
2.	Rev.:	00
3.	Date:	26/03/2018
4.	Context of Organization (Interested parties requirement):	University / Employees
5.	Scope:	Effective closure of F & F
6.	Purpose:	Effectively implement of clearance of F & F process.
7.	Ownership (Accountability)	Unit Head, Administrator, employees, HR officer
8.	Objectives:	<ol style="list-style-type: none"> 1. To provide the system for smooth and justified system for exit of the employee.
9.	Resources:	Clearance Form
10.	Input (Material, product, documented information etc.)	Observation of Employees and compliments received
11.	Process Controls	Perfect implementation of Full and final process.
12.	Activity	<ol style="list-style-type: none"> 1. Inform the concerned employee about his/her performance gap / conduct in the organization. 2. Give opportunity to the employee to express his/her own grievances, if any (Benefit of doubt) 3. Give him / her optimum time (one month) to improve his performance / conduct in the organization. 4. Collect constructive evidences along with details for termination of the employee. 5. Communicate above facts with precise details to the concerned employee. 6. Handover termination letter to the employee. 7. Complete the Clearance form 8. Prepare Full and Final Settlement and Experience Letter (only mention the duration he/she has worked with the organization, do not mention the conduct of the employee) <p>Handover the Full and Final Settlement Cheque within 7-10 working days after the termination.</p>
13.	Responsibility	HR Officer
14.	Process providing input-	Observations of the employee, complaints received.
15.	Stage Output	Effective closure of Full & Final settlement of left employees
16.	Outputs goes as input to	HR-recruitment process

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	Process													
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18.	Risk Level A(OFI) / Non A(NC)	NA												
19.	Occurrence-No of planned activities	As an when required												
20.	Opportunities:	1. To avoid discrepancies/error in full and final settlement.												
21.	Action Plan	Review and observation of employees.												
22.	Applicability	All Units												

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HR/PR/10	PR-10: Full & Final Settlement Process	
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Sr. No.	Description	Particulars
1.	PR-10: Full & Final Settlement Process	Clauses: 6.2.2
2.	Rev.:	00
3.	Date:	26/03/2018
4.	Context of Organization (Interested parties requirement):	University / Employees
5.	Scope:	Properly implementation of exit process.
6.	Purpose:	To maintain exit form, clearance form and F & F statement for HR record.
7.	Ownership (Accountability)	HR Officer, Unit Head, Administrator, Director & Accounts
8.	Objectives:	<ol style="list-style-type: none"> 1. To take the perfect charge from the employee leaving the job. 2. To provide the exact clearance to employee leaving the job.
9.	Resources:	Unit Head and resignation letter, Clearance form & Exit Form
10.	Input (Material, product, documented information etc.)	Resignation Letter, Clearance form & Exit Form, relieving letter and experience letter.
11.	Process Controls	Properly maintain exit process and records.
12.	Activity	<ol style="list-style-type: none"> 1. Receiving of accepted resignation with personal file of employee on the same day. 2. Talk to Employee and his/her concerned head about Resignation and also about reason/issue/problem for resignation 3. If relieving is confirmed, finalize the last date, notice period with Unit Head and inform the employee about his/her last date and other formalities 4. On relieving day, conduct exit interview, get the Clearance form filled up by the employee. 5. Collect company assets provided to the person - library books, I-Card, mobile, SIM card others etc. 6. Prepare the final settlement considering deductions, any amount due towards the employee, and forward to accounts to settle the employees accounts (if relieving formalities are duly completed) 7. Inform IT Department to deactivate his/her Company ERP/Email Account 8. Issue necessary documents - Relieving Letter/Experience Letter/PF Withdrawal Forms/Salary Slips (if required) 9. Document his/her exit documents in the Personal file
13.	Responsibility	HR Officer.
14.	Process providing input-	Exit Form, Clearance Form, Relieving Letter & Experience Letter
15.	Stage Output	Effective closure of Full & Final settlement of left employees
16.	Outputs goes as input to Process	HR-Recruitment Process, Accounts – F & F Settlement.

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18.	Risk Level A(OFI) / Non A(NC)	NA															
19.	Occurrence-No of planned activities	As an when required.															
20.	Opportunities:	HR- New recruitment as per the requirement															
21.	Action Plan	Effectively closure															
22.	Applicability	All Units															

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HR/PR/11	PR-11: Management of Outsourced Process	
Rev.: 00 Date-26/03/2018		Page: 01 / 01

Sr. No.	Description	Particulars
1.	PR-11: Management of Outsourced Process	Clauses: 6.2.2
2.	Rev.:	00
3.	Date:	26/03/2018
4.	Context of Organization (Interested parties requirement):	University / Employees
5.	Scope:	Smoothly functioning of organisation
6.	Purpose:	To provide service as per Unit need base.
7.	Ownership (Accountability)	HR Officer and respective Unit Head.
8.	Objectives:	1. To provide the system for outsourcing of the services which are taken from non employed services or persons.
9.	Resources:	Feedback from - Unit Head, Students and Staff
10.	Input (Material, product, documented information etc.)	Identification of Faculty and services from Unit Head, Students and Staff.
11.	Process Controls	Proper identification of unit requirement (Service/Faculty/Activity).
12.	Activity	<ol style="list-style-type: none"> 1. Identify the subject/activity for which visiting faculty / service is required through IOC to HR D. 2. Select the faculty/service provider as per the need and quality of service to be recruited Inform to HR deptt. 3. Preparation of Appointment Letter for the academic session. 4. Monitoring activities / services performed through feedback from students and staff. 5. Discussion of feedback & in case of non -performance, take necessary corrective action. Inform to HR deptt. Prepare the final settlement considering deductions, any amount due towards the employee, and forward to accounts to settle the employees accounts (if relieving formalities are duly completed)
13.	Responsibility	Unit Head, Coordinator and HR
14.	Process providing input-	Exit Form, Clearance Form, Relieving Letter & Experience Letter
15.	Stage Output	Effective closure of Full & Final settlement of left employees
16.	Outputs goes as input to Process	Recruitment Process

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17.	Risks: Risk of Unintended Outputs / Results and RPN	Risks	Severity	Occurrences	RPN
		1.Improper selection of suitable service provider/Deviation of academic activities	4	4	16
		2. Non availability of suitable faculty or employee lead to affect the goal set.	3	4	12
1.	Risk Level A(OFI) / Non A(NC)	NA			
2.	Occurrence-No of planned activities	As an when required.			
3.	Opportunities:	1. Properly implementation of recruitment process. 2. Identification of faculty, service and activity and to take necessary corrective action.			
4.	Action Plan	Identify the requirements.			
5.	Applicability	All Units			

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HR/PR/12	PR-12: Grievance Handling Process
Rev.: 00 Date-26/03/2018	Page: 01 / 01

Sr. No.	Description	Particulars
1.	Grievance Handling Process	Clauses: 6.2.2
2.	Rev.:	00
3.	Date:	26/03/2018
4.	Context of Organization (Interested parties requirement):	University, Employees, Students.
5.	Scope:	All employees, students, management
6.	Purpose:	To settle the employees concerns related to their employment issues.
7.	Ownership (Accountability)	Unit Head, HR Officer
8.	Objectives:	1. To provide the suitable platform to the employee to register and get the satisfactory solution to their grievances,
9.	Resources:	Grievance register kept at unit, HR Policy, HR Process
10.	Input (Material, product, documented information etc.)	Written complaint by employee if raised at unit level, feedback given by unit head, minutes of meeting of management committee for the subject.
11.	Process Controls	No. of settled grievances by HR Department
12.	Activity	<p>1.In case of Admin staff, the aggrieved employee will forward the application to HR & HR will resolve the case within 3 days, if the case is not resolved the same will be forwarded to Administrator; still not cleared it will be forwarded to the Management for final verdict.Select the faculty/service provider as per the need and quality of service to be recruited Inform to HR deptt.</p> <p>2.In case of Academic staff, the aggrieved employee will forward the application to the Unit Head and he/she will resolve the case within 3 days, if the case is not resolved the same will be forwarded to Director, still not cleared it will be forwarded to the Management for final verdict..</p> <p>3.The Verdict given by the Management will be final & the decision will be communicated to the concerned employee & remarks of the same will be recorded in the Grievance Register.</p> <p>4.Maintain record of grievances received and ensure effective closure of the grievances within the shortest time.</p>
13.	Responsibility	HR Officer

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14.	Process providing input-	Grievance Application												
15.	Stage Output	Timely resolution of employee grievance												
16.	Outputs goes as input to Process	Academic Plan, Administration Plan for list of employees.												
17.	Risks: Risk of Unintended Outputs / Results and RPN	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Risks</th> <th style="width: 15%;">Severity</th> <th style="width: 15%;">Occurrences</th> <th style="width: 10%;">RPN</th> </tr> </thead> <tbody> <tr> <td>1.Dissatisfaction amongst the employees leading to attrition.</td> <td style="text-align: center;">4</td> <td style="text-align: center;">4</td> <td style="text-align: center;">16</td> </tr> <tr> <td>2.Affect team work and organisation for goal achievement.</td> <td style="text-align: center;">3</td> <td style="text-align: center;">4</td> <td style="text-align: center;">12</td> </tr> </tbody> </table>	Risks	Severity	Occurrences	RPN	1.Dissatisfaction amongst the employees leading to attrition.	4	4	16	2.Affect team work and organisation for goal achievement.	3	4	12
Risks	Severity	Occurrences	RPN											
1.Dissatisfaction amongst the employees leading to attrition.	4	4	16											
2.Affect team work and organisation for goal achievement.	3	4	12											
18.	Risk Level A(OFI) / Non A(NC)	NA												
19.	Occurrence-No of planned activities	As per available situation.												
20.	Opportunities:	<ol style="list-style-type: none"> 1. No deviation of any activity in annual plan leading to situation of no compliant. 2. No deviation in personal record keeping of employee. 												
21.	Action Plan	<ol style="list-style-type: none"> 1. Adhere to all annual plans and 2. Provide all desired provisions as per HR Policy. 												
22.	Applicability	All Units												

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ANNEX / A		Revision Sheet	
Rev: 00 Date: 26.03.2018	Clause: 4.2.3		Page: 01/01

Document No.	New Rev. No.	Date	Nature of Change

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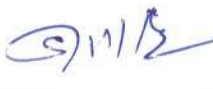
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ANEX/ B		Approval Note	
Rev.: 00 Date: 26.03.2018	Clause: 4.2.3		Page: 01/01

All the Procedures in this Manual are				
				
Prepared By HR Officer	Reviewed By QAG UNIT HEAD	Approved By Administrator	Approved By Director	Issued By MR

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ASHOKA EDUCATION FOUNDATION'S
(HIGHER EDUCATION)

ISO 9001:2015

QUALITY MANAGEMENT SYSTEM

Process Manual

Human Resource Department

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Quality Policy

Quality Policy

We, at Ashoka Education Foundation, are committed to impart need based, practical education to the students. We are determined for holistic development of students with the help of highly qualified & proficient faculties fully dedicated to empower learners for self-exploration.

We endeavor to keep our students abreast with Technical & Skill Specific knowledge to provide opportunities to develop abilities so as to contribute to global development in knowledge based technological era.

We will achieve students' satisfaction with our high ethical standards, professional integrity & shall strive for excellence to create responsible global citizens with deep rooted ethos of Indian culture & tradition.

Date: 10/06/2015


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