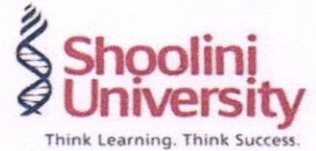


# Complaint/ Grievance Resolution Policy - Employees



## Purpose

Shoolini University is committed to maintaining a positive and constructive environment for all its stakeholders. This policy outlines the principles and procedures for addressing complaints, concerns, or grievances raised by employees, or any other individuals associated with the University. The University aims to resolve complaints in a fair, transparent, and timely manner, while ensuring the confidentiality of individuals involved.

## Application of Policy

This policy applies to all faculty, staff, and any other individuals associated with Shoolini University.

## Principles

1. **Accessibility:** The complaint resolution process is easily accessible to all stakeholders.
2. **Fairness:** All parties involved will be treated fairly and impartially.
3. **Confidentiality:** The privacy of those involved in the complaint will be respected to the extent allowed by law.
4. **Timeliness:** Complaints will be addressed promptly, with reasonable timeframes for resolution.
5. **Transparency:** All parties will be informed about the progress and outcome of the complaint resolution process.

## Informal Options for Resolving Complaints

When appropriate and possible, faculty, supervisors, managers and other employees are encouraged to talk directly with one another about any concerns, with the goal of understanding perspectives and resolving differences. Supervisors are encouraged to address concerns informally, and as early as possible. Employees may also seek assistance from the Human Resource Department to informally resolve a concern.

At any time, either the Complainant or the Respondent may end any attempt at informal resolution of a Complaint, in which case the formal investigation process begins or resumes. The HR office may also decide that a Complaint needs to be formally investigated even if both Complainant and the Respondent wish to resolve the matter informally.



## Investigation of Complaints

### Filing and Initial Assessment of a Complaint

Any member of Shoolini University may file a Complaint with the Reporting Manager or with the HR Office to initiate an investigation. Individuals should submit a written complaint to the HR Office by writing an email at: [hrhelpdesk@shooliniuniversity.com](mailto:hrhelpdesk@shooliniuniversity.com) detailing the nature of the complaint, parties involved, supporting evidence, and desired outcome.

The HR will acknowledge receipt of the complaint within [3] business days. The Complainant is encouraged to file a Complaint as soon as possible after the offending conduct occurred.

When a Complaint is filed, the HR does an initial assessment of the Complaint to determine whether the behaviour would violate a Code of Conduct Policy, assuming for purposes of this analysis that the factual allegations contained in the Complaint are true. If the HR determines that:

- The Complaint does not state a violation of a Code of Conduct Policy, the HR closes the Complaint.
- The Complaint states a violation of a Conduct Policy; the HR will begin an investigation of the Complaint or attempt informal resolution.

The HR will inform the Complainant of its initial assessment decision. The HR's initial assessment decision is final and cannot be appealed.

### Investigation Process

The formal Investigation Process includes the following steps:

- The Complainant and Respondent are notified in writing of the name of the investigator, the nature of the allegations, and a summary of the process that will be followed. A copy of the written notification is also provided to the Respondent's supervisor or manager.
- The Complainant and Respondent meet separately with the investigator and provide any information they would like the investigator to consider.
- The investigator may interview witnesses, collect other information, and consult with other individuals or offices, all as the investigator deems appropriate.
- The Complainant and the Respondent have an opportunity to review a draft investigation report and provide comments to the investigator.

Investigations are usually completed within 20 calendar days from the date the investigation begins.

## **Appeals**

Either the Complainant or the Respondent may appeal a finding as to whether a policy violation occurred. Neither party may appeal a decision on discipline or other action taken. An appeal must be filed in writing with the Vice Chancellor's office within 7 calendar days of the date of the written notice of the decision as to whether a policy violation occurred. An appeal is limited to one or more of the following grounds:

- New significant information: There exists significant, substantive, and relevant information that was not available at the time of the decision.
- Material procedural issue: There was a substantial departure from the procedures that significantly affected the outcome.
- Material finding against the weight of evidence: A material finding that formed a basis for the decision by the investigator or Faculty Panel was substantially against the weight of the evidence.

Both the Complainant and the Respondent will be informed in writing of the decision on the appeal. The decision on an appeal is final. Generally, the decision on an appeal is made within 30 calendar days from the date the appeal was submitted.

## **Provisions Common**

The following provisions apply to all complaints or concerns raised, whether using an informal resolution option or a formal investigation.

## **Interim and Supportive Measures**

The University will offer reasonable and appropriate measures if needed for the Complainant and Respondent to facilitate their continued employment or education during any informal resolution process and during an investigation. These measures may be remedial or protective, such as a no-contact order, change in work schedule or location, or placement of the Respondent on administrative leave during the Complaint review process.

## **False Accusations or Testimony**

A false Complaint determined by the University to have been made in bad faith and any dishonesty in the context of an investigation or other review are serious offenses. Such offenses may be investigated and may lead to disciplinary action, up to and including termination of employment or other affiliation with Shoolini University. False accusations, false testimony, or dishonesty by a student in the course of the complaint process will be referred to the Dean Student Welfare.



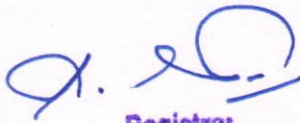
## **Confidentiality and Privacy**

Shoolini University recognizes that many participants in the Complaint Resolution process may wish that these matters remain confidential and want the University to protect the privacy of all involved, to the extent possible.

## **Departure of Complainant or Respondent from Shoolini University**

If either the Complainant or the Respondent leaves Shoolini University after a Complaint is filed, Shoolini University generally continues the investigation to the extent possible. If an individual sues or files a complaint with an external agency before Shoolini University's complaint resolution process is completed, University also generally continues an on-going investigation. Notwithstanding the above, Shoolini University may decide to terminate an investigation if one or both of the parties have left Shoolini University, or if a lawsuit or agency complaint has been filed.

*Approved in 77<sup>th</sup> Academic Council Meeting.*

  
Registrar  
Shoolini University of Biotechnology  
& Management Sciences  
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