

## Code of Conduct

Code of conduct is a collection of rules and regulations that includes what is and is not acceptable or expected behavior. RK University practices to deal with its affairs in a fair and transparent manner by adopting the highest standards of professionalism, honesty, integrity and ethical behavior. All employees are expected to strictly adhere to this Code of Conduct.

### Why is Code of Conduct important?

The Code of Conduct is an elaboration of the RK University's mission, values and principles, linking them with standards of professional conduct. Principles of Conduct and Action sets out what is expected of the employees. The objective of this Code is to ensure that every employee of the RK University is aware of acceptable conduct and behavior, in consonance with RK University's Principles of Conduct and Action. It encourages discussions of ethics and compliance, empowering employees to handle ethical dilemmas they encounter in everyday work. It can also serve as a valuable reference, helping employees locate relevant documents, services and other resources related to ethics within the organization.

**APPLICABILITY** - This Code applies to all employees of the RK University including teaching and the Non-teaching staff. In this Code "Group" refers to all the RK University and "Company" refers to each individual entity that constitutes the University.

**GENERAL STANDARDS OF CONDUCT** - We expect all our employees to conduct their duties honestly, openly, fairly, diligently and courteously and in a manner that enhances the image of the RK University. All employees should be aware of all policies and procedures applicable to the and abide by them to the fullest extent. While policies and procedures could be questioned, it should happen through appropriate forums responsible for review of policies and until any such change happens, no person should violate the existing policy/procedure.

  
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## 1. ATTIRE AND OTHER NECESSITIES

· Female Attire-Saree/Salwar Kurta/Kurti with leggings or Jeans/Tunics

- A. All types of tops should be of decent length.
- B. Low neck, deep neck, loose neck should be completely avoided.
- C. No Jumpsuits/tucking of T shirt or shirt.
- D. Transparent, Translucent and sleeveless tops/blouses are not allowed.
- E. Body fitting and tight clothes are not allowed.
- F. Slippers not allowed.
- G. Hair should be neatly done.
- H. Wearing an I-card is compulsory.

· Male Attire-Kurta Pyjama or Chudidar/Jeans or trousers with Formal shirt or Tshirt

- A. Slippers not allowed.
- B. The length of the shirt/T shirt should be decent.
- C. Hair - do and beard shave should be neatly done.
- D. Wearing an I-card is compulsory.

## DISCIPLINARY ACTIONS

### 1. Procedure and Documentation:

- Any incident to be reported, should be submitted by the respective authority, via workplace, by going to "RKU forms" under the files section, there should be an "Incident report form". Filling it up helps to report any disciplinary action to be taken against an employee.
- Action to be taken by a senior, when an alleged offense has been committed or is reported to have been committed.
- When an offense is alleged to have been committed, the senior concerned will investigate or have the matter investigated, and take any form of the following actions:

  
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- A. Dismiss the case.
- B. Counsel the employee.
- C. Give a verbal warning.
- D. Give a recorded warning.
- E. Initiate a formal disciplinary enquiry.

**Informal disciplinary action:**

- It is desirable for sound interpersonal relations within RK UNIVERSITY that seniors where possible resolve disciplinary matters by means of informal disciplinary action. Informal disciplinary action can take the form of either a verbal warning or counseling.
- An employee found to have committed an offense of a minor nature should be counseled by the Director, without an entry being made on the employee's personal record. The Director may however, make a record of the counseling session to allow for an assessment of the employee's performance record, should this be necessary at the time, and with the employee's knowledge and understanding thereof, formulate a plan of corrective action.
- During the counseling, the senior should ensure that the employee is made aware of the nature of the offense and the standard of conduct or performance that will be expected in the future.

**Procedure for formal complaints:**

The formal complaint can be made under the following committees:

- Internal Complaints Committee (Women Cell)
- Grievance Redressal Committee
- Special cell for SC/ST, OBC and minority

A Director handling a formal complaint must investigate the case with the assistance of the Human Resources Officer, where possible, and ensure that the relevant sections of the complaint form are correctly completed within 48 hours of the offense having been committed or the Director having been made aware of the fact that an offense has been committed.

  
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A copy of the complaint form should be passed without delay to the Human Resources Officer who will advise whether:

- a. The accused should be suspended pending full investigation (if this has not already been done).
- b. Advise the Director on whether to continue with a formal complaint.

### **SPECIAL CASES**

**Suspension:** An employee may be suspended from work immediately if he/she has allegedly committed or is allegedly involved in any one of the following offenses:

- Assault/attempted assault
- Desertion
- Sleeping on duty
- Negligent loss, driving, damage or misuse of RK University property
- Abuse of electronic/data facilities
- Sexual Harassment
- Fighting
- Riotous Behavior
- Alcohol and drug offenses
- Willful loss, damage or misuse of RK University property
- Theft/Unauthorized possession of RK University property
- Breach of Trust
- offenses related to dishonesty
- Any act or omission which intentionally endangers the health or safety of others or is likely to cause damage to RK University property
- Interference with disciplinary and/or grievance investigations.
- Abusive or provocative language (when it is likely to cause a disturbance).
- Insubordination (if the situation shows signs of getting out of control and persistent refusal to obey instructions).

  
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**Offenses outside normal working hours:**

RK UNIVERSITY reserves the right to take any action it may deem appropriate against employees who are, in the opinion of RK UNIVERSITY, guilty of gross misconduct not merely in their working situations. This is particularly so, where the nature of the misconduct may affect the employment relationship with any other party.

**Court Actions:**

Where an employee has been criminally charged or legal action has been instituted for an employment – related breach, RK UNIVERSITY reserves the right to take disciplinary action against the employee for the alleged offense, in terms of this Code.

**Classification of offenses:** Offenses are classified into four major categories.

1. Absenteeism.
2. offenses related to Control at Work.
3. offenses relating to indiscipline or disorderly behavior.
4. offenses related to dishonesty.

**1. Absenteeism:** Absenteeism in the disciplinary context means being absent from work for an entire working shift, or part thereof, without the expressed permission from a senior A sanction of dismissal can apply for the first offense of being absent without permission provided that the employee was absent for three consecutive working days without a valid reason.

a. Absent without leave.

b. Desertion: Leave the workplace without intending to ever return; leave without help or support; abandon; leave without authority or permission.

**2. Offenses related to Control at Work**

  
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- a. Poor Time Keeping and related offenses.
- b. Late for work.
- c. Leaving work early.
- d. Extended or unauthorized breaks during working hours.
- e. Persistently committing all or any of the above.

· **Sleeping on duty**

Any employee who is found asleep on duty, whether or not such an action constitutes a hazard to the safety and health of the offender or others or leads to damage to RK University property, shall be deemed guilty of an offense.

· **Negligent Loss, Driving, Damage or Misuse of RK University property**

Negligent loss of RK University property: any act whereby an employee, through carelessness or negligence, loses RK University property or is unable to account for it satisfactorily.

Negligent driving: driving a RK University owned or rented vehicle without due care, whether such an act results in an accident or not.

Negligent damage to RK University property: any act whereby an employee through carelessness or negligence causes or allows RK University property to become damaged.

Misuse of RK University property: using RK University property for a purpose other than that for which it was intended.

· **Unsatisfactory Work Performance**

Carelessness: Performance of a task or duty without the exercise of due care and attention.

Negligence: failure to exercise proper care and regard to the manner of discharging duty to the extent that tasks have to be repeated or equipment or persons are at risk of damage or injury.

Inefficiency: failure to carry out work at the required standard or failure to complete tasks within the given reasonable time limits, without reasonable cause. This includes poor supervision.

Loafing: passing time idly or failing without reasonable cause to complete tasks set.

  
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### 3. Offenses Related to Indiscipline or disorderly behavior

#### a. Disobedience and related offenses

- Refusing to obey an instruction: deliberate refusal to carry out a lawful and/or reasonable instruction given by a person in authority and within the area of his jurisdiction.
- Non-compliance with established procedure / standing instructions: failure to follow established procedures.
- Abuse of electronic / Data facilities: excessive use / abuse of email and communication facilities; storage and/or transmission of material of discriminatory nature; storage and/or transmission of pornographic material; unauthorized monitoring and interception of electronic documentation.

#### b. Abuse and related offenses

- **Abusive Language:** The uttering of any words or the publication of any writing expressing or showing hatred, ridicule or Contempt for any person or group of persons. The offense is more serious when it is wholly or mainly because of his/her/their nationality, race, color, ethnic origin, sex, marital status, religion, creed, political opinion, social or economic status, degree of physical or mental ability, sexual orientation or culture.
- **Insubordination:** Insolence towards a superior shown by action or words.

#### c. Disorderly behavior and related offenses

- **Disorderly behavior:** Indulging in rough or unruly behavior or practical jokes whether or not such behavior endangers the safety or health of others or the smooth running of the workplace.
- **Threatening violence:** Threatening to do physical injury to any other person.
- **Fighting:** Physical contact between two or more persons, engaging in or inciting a group of persons to indulge in disorderly behavior or willfully to damage RK University property.
- **Riotous behavior:** Unruly behavior between two or more persons, engaging in or inciting a group of persons to indulge in disorderly behavior or willfully to damage RK University property.

  
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· **Sexual Harassment:** Any unwanted or unwelcome sexual advances, requests for sexual favours and other verbal or physical conduct of a sexual nature when submission to or rejection of this conduct explicitly or implicitly affects an individual's employment, causes unreasonable interference with an individual's work performance or creates an intimidating, hostile or offensive work environment.

· **Discrimination:** Any act whereby an employee discriminates against any other employee or group of employees on the grounds of nationality, race, colour, ethnic origin, sex, marital status, religion, creed, political opinion, social or economic status, degree of physical or mental ability, sexual orientation or culture.

· **Willful loss, damage or misuse of RK University property** Willful loss: any act whereby an employee willfully or deliberately loses or causes RK University property to be lost.

Willful damage: any act whereby an employee willfully or deliberately damages or allows or causes damage to RK University property. Willful misuse: any act whereby an employee willfully or deliberately misuses RK University property.

#### 4. Offenses Related to Dishonesty

Disciplinary cases involving the following offenses must be reported to the Human Resources Officer.

- a. **Bribery or Corruption:** Giving or receiving or attempting to give or receive any bribe or inducing or attempting to induce any person to perform any corrupt act.
- b. **False Evidence:** Deliberately giving untrue, erroneous or misleading information or testimony whether verbally or in writing.
- c. **Forgery and uttering:** Falsifying or changing any documentation with fraudulent intent or attempting to do so. Uttering or attempting to utter Fraudulent or false statements or documents.
- d. **Misappropriation:** Applying or attempting to apply to a wrong use or for any unauthorized purpose, any funds, assets or property belonging to RK UNIVERSITY.
- e. **Theft of or unauthorized possession of RK University property:** Stealing or attempting to

  
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deprive RK UNIVERSITY permanently of its rightful ownership. Being in possession or disposing of RK University property without due authorization.

**f. Fraud:** The unlawful making of a misrepresentation with intent to defraud, which causes actual or potential prejudice to another party.

**g. Breach of Trust:** Actions or conduct of an employee that cause a reasonable suspicion of dishonesty or mistrust and for which there exists extraneous evidence to prove a breakdown in the relationship of trust between the concerned employee and RK UNIVERSITY. This will include a situation where the conduct of the employee has created mistrust, which is counterproductive to RK UNIVERSITY's commercial activities or to the public interest, thereby making the continued employment relationship an intolerable one.

## **PENALTIES**

### **Classification of Penalties:**

1. Verbal Warning
2. Recorded Warning
3. Final Warning
4. Demotion
5. Transfer
6. Dismissal

**1. Verbal Warning :** Any senior may, at any time and at his discretion, reprimand an employee without completing a complaint form, in which case there will be no entry made on the employee's disciplinary record. When a verbal warning is given, the senior must ensure that the employee being reprimanded is made aware of the existence and function of the Disciplinary Code. A verbal warning is usually issued where the offense is of a minor nature.

**2. Recorded Warning:** This may be given for a repetition of an offense for which an unrecorded warning

  
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has been given, or it may be given for a first offense. It will be kept as "incident report" in a personal file.

**3. Final Warning:** Given for a repetition of the same offense or a similar offense during a period when a severe warning is still in effect or depending on the nature thereof, for a first offense of a serious nature. In the case of an employee being found guilty of an offense of a dissimilar nature within the prescribed period, the hearing official may, at his discretion, issue a comprehensive final warning on the understanding that if any offense is committed, it will render him liable for dismissal.

**4. Demotion:** Demotion is not an acceptable corrective action and is therefore not used as a punishment for a specific offense. It is used only where the employee is unable to meet the requirements of his present job but is suitable for continued employment in a lower capacity.

**5. Transfer:** Transfer is not permitted as a tool for disciplining employees. A transfer shall only be effective in terms of RK UNIVERSITY's Conditions of Employment and Service. Transfer, as a result of the outcome of a disciplinary action, will be considered in special circumstances.

**6. Dismissal:** Dismissal is the final action and should be used:

- When other forms of disciplinary action have failed.
- When an employee on a final warning commits a serious offense.
- When the offense committed is of such a serious nature that it amounts to a serious breach or repudiation of the employee's contractual obligations.

• In cases relating to dishonesty e.g. theft, fraud or corruption.

• In the case of any employee who is absent from work without permission for a period of six continuous working days or more. In this case the employee will be dismissed in absentia after the sixth day if no reason for such absence is received. Should the employee return to work after he has already been dismissed, he may request that the case be reopened?

• Once an employee has been dismissed in accordance with the procedure contained in this Code, under no circumstances will he be considered for re-employment should he re-apply at a later stage. If it is discovered that a dismissed employee has obtained re-employment with RK UNIVERSITY either inadvertently or through deception, his services will be terminated immediately.

  
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### Dismissal Procedure

- a. A direct Department Senior may recommend that an employee be dismissed.
- b. For the purpose of the dismissal procedure, a direct Department senior is defined as an employee who has a senior link to the employee concerned.
- c. Following a disciplinary hearing outcome being advised to the employee who results in the recommendation for a dismissal and the employee accepts the recommendation; the case will be referred for review to the relevant head for the department concerned.
- d. The relevant Director will endeavor to review the case within forty-eight hours/two working days and endorse or reject the recommendation.
- e. If the recommendation for dismissal is endorsed, the hearing official shall refer the recommendation to the Human Resources Officer who will review the case with the Management.
- f. If the recommendation for dismissal is rejected, the case shall be referred to the Human Resources Officer and the original hearing official.
- g. The relevant Director may sanction the recommendation in writing, thereby affecting dismissal, or reject it.
- h. The employee shall be notified of the decision verbally by the concerned authority. If the employee is dismissed, the employee will be notified in writing. This notification shall be signed by the relevant authority from Management.

### DISCIPLINARY APPEAL PROCEDURE

- Every employee has the right of appeal against any decision which involves any entry on his/her disciplinary record, and which may thus affect his future employment prospects.
- Any employee who wishes to appeal against the outcome of any disciplinary hearing against him/he must notify the Human Resources Officer in writing within two days of being notified of the outcome of the disciplinary hearing. The right of appeal must be based on one or more of the following appeal grounds.

  
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- i. Dispute of Guilt.
- ii. Severity of Penalty/Mitigating Factors.
- iii. Procedural Inconsistencies.
- iv. New Evidence.

  
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