



EMPLOYEE HANDBOOK

Applicability :All employees of Great Lakes Institute of Management, Gurgaon

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For internal use of employees only.

Not to be circulated outside Great Lakes, Gurgaon.

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ABOUT US

Great Lakes Institute of Management, Gurgaon was established in 2010 in the corporate hub of Gurgaon in Delhi NCR to cater to the dynamic business needs of a fast changing global and Indian economy.

It has been consistently innovative and has offered cutting edge programs leveraging deep engagement with the industry facilitated by its location close to businesses ranging from start-ups to consulting firms and large MNCs.

Great Lakes, Gurgaon, benefits from exceptional faculty with excellent academic track record and extensive industry experience. The world class fully residential campus in Gurgaon is a nurturing ground for future business talent and has been recognized by leading organizations in the country which recruit the graduate's year after year.

MISSION

Through teaching, research and executive programs, we foster managerial excellence and human capital development to meet the needs of the business world and create a sustainable society.

VISION

Become an Academic Centre of Excellence that helps students and organizations navigate the economic, social and environmental challenges posed by a rapidly changing 21st century world.

ABOUT THE HANDBOOK

The Handbook Contains general information and guidelines for all employees. It is not intended to be comprehensive or to address all the possible applications of, or exceptions to, the general policies and procedures described. For that reason, if you have any questions concerning eligibility for a particular benefit, or the applicability of a policy or practice to you, you should address your specific questions to the Human Resources Department. Neither this handbook nor any other Institute document, confers any contractual right, either express or implied, to remain in the Institute's employment, nor does it guarantee any fixed terms and conditions of your employment.

The procedures, practices, policies and benefits described herein may be changed, modified or discontinued as per the management policy making decision. We will try to inform you of any changes as they occur.

This handbook and the information in it should be treated as confidential. No portion of this handbook should be disclosed to others, except GREAT LAKES employees and others affiliated with GREAT LAKES whose knowledge of the information is required in the normal course of business.

The Handbook shall be circulated to you at the time of your joining. You are requested to go through the same and get in touch with the Human Resources Department at hr.ncr@greatlakes.edu.in for any queries on the same.

CODE OF CONDUCT

OBJECTIVE

The Objective of this policy is to provide clear guidelines on Ethical and Professional Code at the workplace.

Applicability

This policy is applicable to all employees of Great Lakes Institute of Management, Gurgaon.

ETHICAL CODE

Aim

The purpose of this code is to provide a guide on the expected ethical standards for an employee of Great Lakes.

a. Respect & Dignity

All employees are expected to treat their fellow colleagues, juniors, seniors and staff with respect and dignity.

Employees should not try to assert power at the workplace, and extend the same courtesies to others, as they expect for themselves.

b. Honesty & Integrity

Employees are expected to deliver work with utmost honesty & integrity, in line with the Great Lakes's policies.

c. Attendance, Punctuality and Dependability

As Great Lakes depends heavily upon its employees, it is important that employees attend work as scheduled. Dependability, attendance, punctuality, and a commitment to do the job right are essential at all times.

As such, employees are expected at work on all scheduled work days and during all scheduled work hours and to report to work on time. To the extent permitted by law, absenteeism and lateness lessen an employee's chances for advancement and may result in dismissal or considered absconding.

d. Appearance and Conduct

Great Lakes expects employees to maintain a neat, well-groomed appearance at all times. Employees should avoid extremes in dress.

All employees are expected to behave in a manner that befits a professional workplace and not indulge in practices that are damaging to the organization and other employees.

While not intended to list all forms of behavior that are considered unacceptable in the workplace, the following are examples of misconduct that may result in disciplinary action, including termination of employment.

- Theft or inappropriate removal or possession of organization owned property
- Working under the influence of alcohol or illegal drugs
- Possession, distribution, sale, transfer, or use of alcohol or illegal drugs in the workplace
- Fighting or threatening violence in the workplace
- Boisterous or disruptive activity in the workplace
- Negligence or improper conduct leading to damage of organization owned property
- Insubordination or other disrespectful conduct
- Violation of safety or health rules
- Smoking in the workplace
- Any form of harassment of other employees
- Excessive absenteeism
- Unauthorized disclosure of confidential information

This list is intended to be representative of the types of activities that may result in disciplinary action. It is not exhaustive, and is not intended to be comprehensive.

The Institute requires order and discipline to succeed, to promote efficiency, productivity and cooperation among its employees. Employees who fail to maintain proper standards of conduct toward their work, their co-workers or the Institute's customers, or who violate any of the Institute's policies, are subject to appropriate disciplinary action, up to and including discharge.

All instances of misconduct should be referred to the Human Resources Department immediately.

e. Smoking Policy

In order to comply with government regulations, Great Lakes has prohibited smoking throughout its workplace, except in the designated smoking area. Employees are protected from retaliatory action or from being subjected to any adverse personal action for exercising or attempting to exercise his/her rights under the smoking policy.

Any violation of this policy may result in appropriate corrective disciplinary action, up to and including discharge. Any questions regarding the smoking policy should be directed to the Human Resources Department.

f. Drug and Alcohol Abuse

Manufacture, distribution, dispensation, possession, or use of any illegal drug, alcohol, or controlled substance, while on Institute premises, is strictly prohibited.

These activities constitute serious violations of Institute rules, jeopardize the Institute and can create situations that are unsafe or that substantially interfere with job performance.

Employees in violation of the policy are subject to appropriate disciplinary action, up to and including dismissal. Additionally, Great Lakes reserves the right to require an employee to undergo a medical evaluation under appropriate circumstances.

g. Violence in the Workplace

The Institute strongly believes that all employees should be treated with dignity and respect.

Acts of violence of any sorts will not be tolerated.

Any instances of violence must be reported to the employee's Reporting Officer and/or the Human Resources Department.

All complaints will be fully investigated. The Institute will promptly respond to any incident or suggestion of violence. Violation of this policy will result in disciplinary action, up to and including immediate discharge.

h. Recording Policy

It is a violation of Great Lakes policy to record conversations with a tape recorder or any other recording device unless prior approved. Any such recording has to be approved by the Director/GM Administration.

The purpose of this policy is to eliminate a chilling effect on the expression of views that may exist when one person is concerned that his conversation with another is being secretly recorded. This concern can inhibit spontaneous and honest dialogue, especially when sensitive or confidential matters are being discussed.

Violation of this policy will result in disciplinary action, up to and including immediate termination.

CONFLICT OF INTEREST

Aim

The purpose of this policy is to protect employees and Great Lakes, from any conflict of interest that might arise.

The Institute expects our employees to conduct business according to the highest ethical standards of conduct. Work-related dealings that appear to create a conflict between the interests of the Institute and an employee are unacceptable.

If an employee has any question whether an action or proposed course of conduct would create a conflict of interest, he or she should immediately contact the Human Resources Department to obtain advice on the issue.

A violation of this policy will result in immediate and appropriate discipline, up to and including immediate termination.

a. Outside Employment

The Institute recognizes the right of employees to engage in activities outside of their employment which are of a private nature and unrelated to our business. However, the employee must disclose any such engagement so that the Institute may assess and prevent potential conflicts of interest from arising.

Employees are required to obtain written approval from the Director, before participating in outside work activities.

Employees are not allowed to take part /participate in any other commercial activities apart from working at Great Lakes.

They are discouraged from

- Indulging in any activity which is considered as antisocial and antinational by the law of the land
- Getting involved in any criminal activity both within, and outside Great Lakes.

The Institute reserves the right to terminate the employment of such individuals who are involved in such activities.

In general, outside work activities are not allowed when they:

- Prevent the employee from fully performing work for which he or she is employed at the Institute, including overtime assignments;
- Involve organizations that are doing or seek to do business with the Institute, including actual or potential vendors or customers
- Violate provisions of law or the Institute's policies or rules.

From time to time, Institute employees may be required to work beyond their normally scheduled hours. Employees must perform this work when requested. In cases of conflict with any outside activity, the employee's obligations to the Institute must be given priority.

Employees are hired and continue in Great Lakes's employment with the understanding that Great Lakes is their primary employer and that other employment or commercial involvement which is in conflict with the business interests of Great Lakes is strictly prohibited.

b. Financial Interest in Other Business

An employee and his or her immediate family may not own or hold any significant interest in a supplier, customer or competitor of the Institute, except where such ownership or interest consists of securities in a publicly owned Company, and that securities are regularly traded on the open market.

A potential or actual conflict of interest occurs whenever an employee is in a position to influence a decision that may result in a personal gain for the employee or an immediate family member (i.e., spouse or significant other, children, parents, siblings) as a result of the Institute's business dealings.

c. Acceptance of Gifts

No employee may solicit or accept gifts of significant value (i.e., in excess of Rs.2000/-), lavish entertainment or other benefits from potential and actual customers, suppliers or competitors.

Special care must be taken to avoid even the impression of a conflict of interest.

An employee may entertain potential or actual customers if such entertainment is consistent with accepted business practices, does not violate any law or generally accepted ethical standards and the public disclosure of facts, will not embarrass the Institute. Any questions regarding this policy should be addressed to the Human Resources Department.

d. Solicitations and Distributions:

Employees may not solicit any other employee during working time, nor may employees distribute literature in work areas at any time. Under no circumstances may an employee disturb the work of others to solicit or distribute literature to them during their working time.

Persons not employed by Great Lakes may not solicit Great Lakes employees for any purposes on Institute premises.

e. Anti-Nepotism Policy

Members of an employee's immediate family will be considered for employment on the basis of their qualifications. Immediate family may not be hired, if

- Employment would create a supervisor/subordinate relationship with a family member
- Have the potential for creating an adverse impact on work performance
- Create either an actual conflict of interest or the appearance of a conflict of interest.

This policy must also be considered when assigning, transferring, or promoting an employee.

- For the purpose of this policy, immediate family includes: spouse, parent, child, sibling, in-law, aunt, uncle, niece, grandparent, grandchild, members of household. This policy also applies to romantic relationships.
- Employees who become immediate family members or establish a romantic relationship may continue employment as long as it does not involve any of the above.
- When a situation occurs which results in a violation of this policy (whether because of the marriage of two employees or some other circumstance), one of the employees involved will be required to be transferred.
- If accommodations of this nature are not feasible, the employees will be permitted to determine which of them will resign. Employee will be required to inform the Institute of their decision within a two-month period after the violation begins. If the employees cannot make a decision, the Institute will decide in its sole discretion who will remain employed.

- This policy does not apply to "close relatives" who already are employed by Great Lakes as of the effective date of this policy. This waiver, however, may not be used as a basis for further exceptions subsequent to the effective date of this policy.

f. Reporting Potential Conflicts

An employee must promptly disclose actual or potential conflicts of interest, in writing, to his or her Reporting Officer/ Director. Approval will not be given unless the relationship will not interfere with the employee's duties or will not damage the Institute's relationship.

CONFIDENTIALITY

- All Great Lakes records and information relating to Great Lakes or its customers are confidential and employees must, therefore, treat all matters accordingly.
- No Great Lakes or Great Lakes-related information, including without limitation, documents, notes, files, records, oral information, computer files or similar materials (except in the ordinary course of performing duties on behalf of Great Lakes) may be removed from Great Lakes's premises, without permission from Great Lakes.
- Additionally, the contents of Great Lakes's records or information, otherwise obtained in regard to business may not be disclosed to anyone, except where required for a business purpose. Employees must not disclose any confidential information, purposefully or inadvertently through casual conversation), to any unauthorized person inside or outside the Institute. Employees who are unsure about the confidential nature of specific information must ask their Reporting Officer for clarification.
- Employees will be subject to appropriate disciplinary action, up to and including dismissal, for knowingly or unknowingly revealing information of a confidential nature.

ORGANIZATIONAL ASSETS

a. Intellectual Property

All Great Lakes employees must be aware that Great Lakes retains legal ownership of the product of their work. No work product created while employed by Great Lakes can be claimed, construed, or presented as property of the individual, even after employment by Great Lakes has been terminated or the relevant project completed.

- This includes written and electronic documents, audio and video recordings, system code, and also any concepts, ideas, or other intellectual property developed for Great Lakes, regardless of whether the intellectual property is actually used by Great Lakes.

- Although it is acceptable for an employee to display and/or discuss a portion or the whole of certain work product as an example in certain situations (e.g., on a resume, in a freelancer's meeting with a prospective client), one must bear in mind that information classified as confidential must remain so, even after the end of employment, and that supplying certain other entities with certain types of information may constitute a conflict of interest.
- In any event, it must always be made clear that work product is the sole and exclusive property of Great Lakes. Freelancers and temporary employees must be particularly careful in the course of any work they discuss doing, or actually do, for a competitor of Great Lakes.

b. Employer Information and Property

The protection of Great Lakes business information, property and all other Institute assets are vital to the interests and success of Great Lakes.

No Great Lakes related information or property, including without limitation, documents, files, records, computer files, equipment, office supplies or similar materials (except in the ordinary course of performing duties on behalf of Great Lakes) may, therefore, be removed from the Institute's premises.

In addition, when an employee leaves Great Lakes, the employee must return to the Institute all Great Lakes related information and property that the employee has in his/her possession, including without limitation, documents, files, records, manuals, information stored on a personal computer or on a computer disc, supplies, and equipment or office supplies.

Violation of this policy is a serious offense and will result in appropriate disciplinary action, up to and including discharge.

c. Internal Investigations and Searches

From time to time, Great Lakes may conduct internal investigations pertaining to security, auditing or work-related matters. Employees are required to cooperate fully with and assist in these investigations, if requested to do so. During investigations, the institute may search work areas (i.e., desks, file cabinets, etc.) and personal belongings (i.e., brief cases, handbags, etc.) without notice. Employees are required to cooperate.

The Institute will generally try to obtain an employee's consent before conducting a search of work areas or personal belongings, but may not always be able to do so.

INFORMATION TECHNOLOGY POLICY

a. E-Mail Policy

Every Great Lakes employee is responsible for using the electronic mail (E-mail) system properly and in accordance with this policy. Any questions about this policy should be addressed to the Human Resources Department.

- The E-mail system is the property of Great Lakes.
- It has been provided by Great Lakes for use in conducting Institute business.
- All communications and information transmitted by, received from, or stored in this system are Institute records and property of Great Lakes.
- The E-mail system is to be used for Institute purposes only.
- Use of the E-mail system for personal purposes is prohibited.
- Employees have no right of personal privacy in any matter stored in, created, received, or sent over the Great Lakes mail system.

Great Lakes, in its discretion as owner of the E-mail system, reserves and may exercise the right to monitor, access, retrieve, and delete any matter stored in, created, received, or sent over the E-mail system, for any reason and without the permission of any employee.

I. Password protected documents

Even if employees use a password to access the E-mail system, the confidentiality of any message stored in, created, received, or sent from the Great Lakes E-mail system still cannot be assured. Use of passwords or other security measures does not in any way diminish Great Lakes's rights to access materials on its system, or create any privacy rights of employees in the messages and files on the system. Any password used by employees must be revealed to Great Lakes as E-mail files may need to be accessed by the Institute in an employee's absence.

Even though Great Lakes has the right to retrieve and read any E-mail messages, those messages should still be treated as confidential by other employees and accessed only by the intended recipient. Employees are not authorized to retrieve or read any E-mail messages that are not sent to them.

Any exception to this policy must receive the prior approval of Great Lakes management.

II. Propagating Personal Agendas

Great Lakes's policies against sexual or other harassment apply fully to the Email system, and any violation of those policies is grounds for discipline up to and including discharge. Therefore, no

E-mail messages should be created, sent, or received if they contain intimidating, hostile, or offensive material concerning race, color, religion, sex, age, national origin, disability or any other classification protected by law.

The E-mail system may not be used to solicit for religious or political causes, commercial enterprises, outside organizations, or other non-job related solicitations.

III. Proprietary Information

The E-mail system shall not be used to send (upload) or receive (download) copyrighted materials, trade secrets, proprietary financial information, or similar materials without prior authorization from Great Lakes management.

Employees, if uncertain about whether certain information is copyrighted, proprietary, or otherwise inappropriate for transfer, should resolve all doubts in favor of not transferring the information and consult the management.

IV. Employing Email Etiquettes

Employees are reminded to be courteous to other users of the system and always to conduct themselves in a professional manner. E-mails are sometimes misdirected or forwarded and may be viewed by persons other than the intended recipient.

Users should write E-mail communications with no less care, judgment and responsibility than they would use for letters or internal memoranda written on Great Lakes letterhead.

Because E-mail records and computer files may be subject to discovery in litigation, Great Lakes employees are expected to avoid making statements in E-mail or computer files that would not reflect favorably on the employee or Great Lakes if disclosed in a litigation or otherwise.

V. Reporting Concern

Any employee who discovers misuse of the E-mail system should immediately contact the appropriate authority/immediate Reporting Officer/Director/HR.

Violations of Great Lakes's E-mail policy may result in disciplinary action up to and including discharge.

Great Lakes reserves the right to modify this policy at any time, with or without notice.

b. Internet Policy

Certain employees may be provided with access to the Internet to assist them in performing their jobs. The Internet can be a valuable source of information and research. In addition, e-mail can provide excellent means of communicating with other employees, our customers and clients, outside vendors, and other businesses. Use of the Internet however, must be tempered with common sense and good judgment.

If an employee abuses their right to use the Internet, the internet access will be withdrawn. In addition, the employee may be subject to disciplinary action, including possible termination, and civil and criminal liability.

Use of the Internet via Great Lakes's computer systems constitutes consent by the user to all of the terms and conditions of this policy.

The use of the Internet is governed by this policy and the E-Mail Policy.

I. Disclaimer of liability for use of Internet

Great Lakes is not responsible for material viewed or downloaded by users from the Internet. The Internet is a worldwide network of computers that contains millions of pages of information.

Users are cautioned that many of these pages include offensive, sexually explicit, and inappropriate material. Users accessing the Internet may do so at their own risk.

II. Duty not to waste computer resources

Employees must not deliberately perform acts that waste computer resources or unfairly monopolize resources to the exclusion of others.

These acts include, but are not limited to, sending mass mailings or chain letters, spending excessive amounts of time on the Internet, playing games, engaging in online chat groups, printing multiple copies of documents, or otherwise creating unnecessary network traffic.

Because audio, video and picture files require significant storage space, files of this or any other sort may not be downloaded unless they are business-related.

III. No expectation of privacy

The computers and computer accounts given to employees are to assist them in performance of their jobs. Employees should not have an expectation of privacy in anything they create, store, send, or receive on the computer system. The computer system belongs to the Institute and may only be used for business purposes.

IV. Monitoring computer usage

The Institute has the right, but not the duty, to monitor any and all of the aspects of its computer system, including, but not limited to, monitoring sites visited by employees on the Internet, monitoring chat groups and news groups, reviewing material downloaded or uploaded by users to the Internet, and reviewing e-mail sent and received by users.

V. Blocking of inappropriate content

The Institute may use software to identify inappropriate or sexually explicit Internet sites. Such sites may be blocked from access by Institute networks.

In the event you, nonetheless, encounter inappropriate or sexually explicit material while browsing on the Internet, immediately disconnect from the site, regardless of whether the site was subject to Institute blocking software.

VI. Prohibited activities

Material that is fraudulent, harassing, trolling, embarrassing, sexually explicit, profane, obscene, intimidating, defamatory, or otherwise unlawful, inappropriate, offensive (including offensive material concerning sex, race, color, national origin, religion, age, disability, or other characteristic protected by law), or violate Great Lakes's equal employment opportunity policy and its policies against sexual or other harassment may not be downloaded from the Internet or displayed or stored in Great Lakes's computers.

Employees encountering or receiving this kind of material should immediately report the incident to their Reporting Officers or the Human Resources Department.

Great Lakes's equal employment opportunity policy and its policies against sexual or other harassment apply fully to the use of the Internet and any violation of those policies is grounds for discipline up to and including discharge.

VII. Illegal copying

Employees may not illegally copy material protected under copyright law or make that material available to others for copying. You are responsible for complying with copyright law and applicable licenses that may apply to software, files, graphics, documents, messages, and other material you wish to download or copy. You may not agree to a license or download any material for which a registration fee is charged without first obtaining the express written permission.

VIII. Accessing the Internet

To ensure security and to avoid the spread of viruses, employees accessing the Internet through a computer attached to Great Lakes's network must do so through an approved Internet firewall. Accessing the Internet directly by modem is strictly prohibited unless the computer you are using is not connected to the Institute's network.

IX. Virus detection

Files obtained from sources outside the Institute, including disks brought from home; files downloaded from the Internet, newsgroups, bulletin boards, or other online services; files attached to e-mail; and files provided by customers or vendors, may contain dangerous computer viruses that may damage the Institute's computer network.

Employees should never download files from the Internet, accept e-mail attachments from outsiders, or use disks from non-Institute sources, without first scanning the material with Institute-approved virus checking software. If you suspect that a virus has been introduced into the Institute's network, notify the IT Help Desk immediately.

X. Sending unsolicited e-mail (spamming)

Without the express permission of their supervisors, employees may not send unsolicited e-mail to persons with whom they do not have a prior relationship.

XI. Amendments and revisions

This policy may be amended or revised from time to time as the need arises. Users will be provided with copies of all amendments and revisions. Violations of this policy will be taken seriously and may result in disciplinary action, including possible termination, and civil and criminal liability. Use of the Internet via Great Lakes's computer systems constitutes consent by the user to all of the terms and conditions of this policy.

c. Use of Institute Equipment and Computer Systems

The Institute provides equipment and materials necessary for you to perform your job. These items are to be used solely for the Institute's purposes. Employees are expected to exercise care in the use of Institute equipment and property and use such property only for authorized purposes.

- Loss, damages or theft of Institute property should be reported at once. Negligence in the care and use of Institute property may be considered grounds for discipline, up to and including termination.

- The Institute's equipment, such as telephone, postage, facsimile, copier machine etc., are intended to be used for business purposes. An employee may only use this equipment for non-business purposes in an emergency and only with the permission of his or her Reporting Officer.
- Personal usage, in an emergency, of these or other equipment that results in a charge to the Institute should be reported immediately to your Reporting Officer or accounting so that reimbursement can be made.
- Upon termination of employment, the employee must return all Institute property, equipment, work product and documents in his or her possession or control.

Moreover, please be aware that Great Lakes may purge files on its computer at any time, without notice. The use of the system for such personal efforts must occur outside of business hours, and any files created are to be deleted at the end of the project.

- Also, because of the normal heavy load on the system, these outside projects will not receive priority over late evening operational requirements, system maintenance, or file back-up.
- Using the computer facilities for other than educational or charitable activities, following the procedures described above, is not permitted.

A large percentage of our business is conducted over the phone, it is essential to project a professional telephone manner at all times.

Although Great Lakes realizes that there are times when an employee may need to use the telephone for personal reasons, it is expected that good judgment will be used in limiting the length and frequency of such calls. Additionally, no long distance personal calls may be made on Institute phones without prior approval from the employee's supervisor.

PEOPLE PRACTICES

a. Equal Employment Opportunity

Equal Employment Opportunity has been, and will continue to be, a fundamental principle at Great Lakes, where employment is based upon personal capabilities and qualifications without discrimination because of race, color, religion, sex, age, national origin, disability, or any other protected characteristic as established by law.

This policy of Equal Employment Opportunity applies to all policies and procedures relating to recruitment, compensation & benefits, career progression, termination and all other terms and conditions of employment.

The Human Resources Department has overall responsibility for this policy and maintains reporting and monitoring procedures. Employees' questions or concerns should be referred to the Human Resources Department.

Appropriate disciplinary action may be taken against any employee willfully violating this policy.

b. Differently-abled People

It is the Institute's policy not to discriminate against any qualified employee or applicant with regard to any terms or conditions of employment because of such individual's disability or perceived disability so long as the employee can perform the essential functions of the job.

An employee or job applicant who has questions regarding this policy or believes that he or she has been discriminated against based on different abilities should notify the Human Resources Department of the institute.

All such inquiries or complaints will be treated as confidential to the extent permissible by law.

c. Non-Discrimination Policy

Great Lakes is committed to providing a work environment in which all individuals are treated with respect and dignity. Each individual has the right to work in a professional atmosphere that promotes equal employment opportunities and prohibits discriminatory practices, including harassment.

Therefore, Great Lakes expects that all relationships among persons in the workplace will be professional and free of bias, prejudice and harassment.

Definitions of Discrimination

Great Lakes is committed to providing all its employees an environment free of discrimination based on gender, nationality, abilities, race, region, religion, beliefs etc. It has zero tolerance for harassment, intimidation or humiliation and is dedicated to ensuring enactment, observance and adherence of guidelines and best practices that prevent and prosecute acts of discrimination.

Discrimination on the basis of any other protected characteristic is also strictly prohibited. Under this policy, discrimination is verbal or physical conduct that denigrates or shows hostility or aversion toward an individual because of his/her race, color, religion, national origin, age, disability, citizenship status, marital status, creed, or any other characteristic protected by law or that of his/her relatives, friends or associates, and that:

- Results in unequal treatment of an employee in respect to other team members
- Results in Partiality, favoritism, unfair compensation, career progression, employee feedback etc
- Has the purpose or effect of creating an intimidating, hostile or offensive work environment;
- Has the purpose or effect of unreasonably interfering with an individual's work performance
- Otherwise adversely affects an individual's employment opportunities.

Harassing conduct includes, but is not limited to:

- nicknames, slurs or negative stereotyping;
- threatening, intimidating or hostile acts;

- denigrating jokes and display or circulation in the workplace of written or graphic material that denigrates or shows hostility or aversion towards an individual or group (including through e-mail).

Conduct prohibited by these policies is unacceptable in the workplace and in any work-related setting outside the workplace, such as during business trips, business meetings and business- related social events.

Retaliation is Prohibited

Great Lakes prohibits retaliation against any individual who reports discrimination or harassment or participates in an investigation of such reports.

Retaliation against an individual for reporting harassment or discrimination or for participating in an investigation of a claim of harassment or discrimination is a serious violation of this policy and, like harassment or discrimination itself, will be subject to disciplinary action.

d. Grievance Redressal Process

Great Lakes would like to provide a safe, comfortable working environment to its employees. To ensure this, Great Lakes has put in a rigorous Grievance Process in place, that will help address any concerns that an employee might have in the form of discrimination, retaliation or any other work related grievance.

The law and the policies of Great Lakes prohibit disparate treatment on the basis of sex or any other protected characteristic, with regard to terms, conditions, privileges and perquisites of employment.

General Guidelines

- Grievance is an Incident of Discrimination, Retaliation, or any other work- related grievance, arising in the work space, which is disturbing to the employee.
- Great Lakes strongly urges the reporting of all incidents of grievance, regardless of the offender's identity or position.
- While no fixed reporting period has been established, Great Lakes strongly urges the prompt reporting of complaints or concerns so that rapid and constructive action can be taken.
- The availability of this complaint procedure does not preclude individuals, who believe they are being subjected to harassing conduct, from promptly advising the offender that his or her behavior is unwelcome and requesting that it be discontinued.

Redressal Process

To foster sound employee-employer relations through communication and reconciliation of work-related problems, Great Lakes provides employees with an established procedure for expressing employment related concerns.

In situations where employees feel a complaint is in order, the following steps should be taken:

1. If an employee believes that he/she has a legitimate work-related complaint, the employee is encouraged to first attempt to resolve the issue(s) through discussions with his/her immediate Reporting Officer or Human Resources Department before the conduct becomes severe or pervasive.

Early reporting and intervention have proven to be the most effective method of resolving actual or perceived incidents of discrimination or malpractice.

2. In case the grievance is not addressed, then a written complaint can be filed with HR, detailing the incidence, concerns etc. This can then be discussed with the Functional Head and try to arrive at a solution.
3. When a grievance does not find a solution at the functional level, it can be escalated to the Grievance Committee, which shall undertake a formal investigation of the same.

Investigation

Investigations will be undertaken by the Grievance Redressal Committee.

Grievance Redressal Committee

S. No.	Name	Status	Contact No.
1.	Dr. Poornima Gupta	Chairperson	9818130344
2.	Dr.Bappaditya Mukhopadhyaya	Member	9810573259
3.	Mr. Samiran Baral	Member	9319977107
4.	Ms. Sumiti Shukla	Member	9711556704

Any reported allegations of harassment, discrimination, malpractice or retaliation will be investigated promptly, thoroughly and impartially.

The investigation may include individual interviews with the parties involved and, where necessary, with individuals who may have observed the alleged conduct or may have other relevant knowledge.

Confidentiality will be maintained throughout the investigatory process to the extent consistent with adequate investigation and appropriate corrective action.

Responsive Action

Misconduct constituting harassment, discrimination, violation of employee policies or retaliation will be dealt with promptly and appropriately.

Responsive action may include,

Stage 1: Training, referral to counseling, monitoring of the offender

Stage 2: Disciplinary action such as warning, reprimand etc

Stage 3: Withholding of a promotion or pay increase, reduction of wages, demotion, reassignment

Stage 4: Temporary suspension without pay or termination, as Great Lakes believes appropriate under the circumstances.

The Institute will attempt to resolve the complaint within a reasonable period of time while preserving the confidentiality and privacy of those involved to the extent feasible.

Individuals who have questions or concerns about these policies should talk with the Human Resources Department.

Finally, these policies should not, and may not, be used as a basis for excluding or separating individuals of a particular gender, or any other protected characteristic, from participating in business or work-related social activities or discussions in order to avoid allegations of discrimination.

The prohibitions against malpractice, harassment, discrimination and retaliation are intended to complement and further these policies, not to form the basis of an exception to them.

e. Open Door Policy

Great Lakes promotes an atmosphere whereby employees can talk freely with members of the management staff. Employees are encouraged to openly discuss with their Reporting Officer any problems, so appropriate action may be taken. If the Reporting Officer cannot be of assistance, Human Resources is available for consultation and guidance.

Great Lakes is interested in all of our employees' success and happiness with us. We, therefore, welcome the opportunity to help employees whenever feasible.

f. Personal Records

To keep necessary Institute records up to date, it is extremely important that you notify the Human Resources Department of any changes in:

- Name
- Marital status
- Address
- Contact number
- Number of eligible dependents
- Person to contact in case of emergency
- Updates on Educational Qualifications

g. Reference Checks of Current/ Ex- employees

All inquiries regarding a current or former Great Lakes employee must be referred to the Human Resources Department. Should an employee receive a written request for a reference, he/she should refer the request to the Human Resources Department for handling.

No Great Lakes employee may issue a reference letter to any current or former employee without the permission of the Human Resources Department. Under no circumstances should any Great Lakes employee release any information about any current or former Great Lakes employee over the telephone. All telephone inquiries regarding any current or former employee of Great Lakes must be referred to the Human Resources Department.

In response to an outside request for information regarding a current or former Great Lakes employee, the Human Resources Department will furnish or verify only an employee's name, dates of employment, job title and department. No other data or information regarding any current or former Great Lakes employee, or his/her employment with Great Lakes, will be furnished unless the employee authorizes Great Lakes to furnish this information in a writing that also releases Great Lakes from liability in connection with the furnishing of this information or Great Lakes is required by law to furnish any information.

h. Accidents and Emergencies

Maintaining a safe work environment requires the continuous cooperation of all employees. The Institute strongly encourages employees to communicate with fellow employees and their Reporting Officers regarding safety issues.

All employees will be provided care, first-aid and emergency service, as required, for injuries or illnesses while on Great Lakes premises.

Employees should contact their Reporting Officer, the nearest manager, in the event of an accident or emergency.

DISCIPLINARY ACTION

All employees are expected to meet Great Lakes's standards of work performance. Work performance encompasses many factors, including attendance, punctuality, personal conduct, job proficiency and general compliance with the Institute's policies and procedures.

If an employee does not meet these standards, the Institute may, under appropriate circumstances, take corrective action, other than immediate dismissal. The intent of corrective action is to formally document problems while providing the employee with a reasonable time within which to improve performance.

Disciplinary Process

The process is designed to encourage development by providing employees with guidance in areas that need improvement such as poor work performance, attendance problems, personal conduct, general compliance with the Institute's policies and procedures and/or other disciplinary problems.

I. Verbal Warning

First instance or minor instances by the Reporting Officer, encouraging and guiding to make improvements. The area of improvement & specified period of time should be clearly explained to the employee.

II. Written Warnings

The Reporting Officer should discuss the problem and present a written warning to the employee in the presence of a Human Resources representative.

- This should clearly identify the problem and outline a course of corrective action within a specific time frame.
- The employee should clearly understand both the corrective action and the consequence (i.e., termination) if the problem is not corrected or reoccurs.
- The employee should acknowledge receipt of the warning and include any additional comments of their own before signing it.
- A record of the discussion and the employee's comments should be placed in the employee file in the Human Resources Department.

Employees who have had formal written warnings are not eligible for salary increases, bonus awards, promotions or transfers during the warning period.

Management may decide to conduct investigation in case of serious breach of policy or law.

III. Termination Procedures / Dismissal

When an employee is found unsuitable (violation of policies or law) or incapable of performing his/her job (performance issue), the employment may be terminated by giving the applicable notice or payment thereof.

Dismissal

Any employee whose conduct, actions or performance violates or conflicts with Great Lakes's policies may be terminated immediately and without warning. The following are some examples of grounds for immediate dismissal of an employee:

- Breach of trust or dishonesty
- Conviction of a felony
- Willful violation of an established policy or rule
- Falsification of Institute records
- Gross negligence
- Insubordination
- Violation of the Prevention of Sexual Harassment and/or Equal Employment Opportunity Policies
- Undue and unauthorized absence from duty during regularly scheduled work hours

- Deliberate non-performance of work
- Larceny or unauthorized possession of, or the use of, property belonging to any co-worker, visitor, or customer of Great Lakes
- In possession of weapons in the premises
- Unauthorized possession, use or copying of any records that are the property of Great Lakes
- Unauthorized posting or removal of notices
- Excessive absenteeism or lateness
- Marring, defacing or other willful destruction of any supplies, equipment or property of Great Lakes
- Failure to call or directly contact your Reporting Officer when you will be late or absent from work
- Fighting or serious breach of acceptable behaviour
- Violation of the Alcohol or Drug Policy
- Theft
- Violation of the Institute's Conflict of Interest/Outside Employment Policy and/or Confidentiality Policy
- Gambling, conducting games of chance or possession of such devices on the premises or during work hours
- Leaving the work premises without authorization during work hours
- Sleeping on duty
- Possessing drugs, Alcohol and other banned substance

This list is intended to be representative of the types of activities that may result in disciplinary action. It is not exhaustive, and is not intended to be comprehensive. In the event of dismissal for misconduct, all benefits end at the end of the month.

This would be in line with the *Performance Appraisal Policy*.

Amendments & Revisions

This policy may be amended or revised from time to time as the need arises. Users will be provided with copies of all amendments and revisions.

Violations of this policy will be taken seriously and may result in disciplinary action, including possible termination, and civil and criminal liability.

PREVENTION OF SEXUAL HARASSMENT POLICY

OBJECTIVE & PHILOSOPHY

Great Lakes is committed to a work environment in which all individuals are treated with respect and dignity. Each individual has the right to work in a professional atmosphere that promotes equal employment opportunities and prohibits discriminatory practices, including harassment. Therefore, Great Lakes expects that all relationships among persons in the workplace will be business-like and free of bias, prejudice and harassment.

In view of the same, this policy has been devised to create a mechanism for raising concerns, undertaking investigation & taking action on the findings.

Great Lakes is committed to providing all its employees an environment free of gender-based discrimination and harassment. It has zero tolerance for harassment, intimidation or humiliation of a sexual or gender-based nature and is dedicated to ensuring enactment, observance and adherence of guidelines and best practices that prevent and prosecute acts of sexual harassment.

Applicability

This policy is applicable to all employees, temporary staff, visiting faculty, consultants, trainees of Great Lakes Institute of Management, Gurgaon; while in the premises of Great Lakes Campus, Gurgaon Office, official events held in/ outside office premises and the company provided cab.

The policy has been formulated keeping in view the provisions of The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013 (the “Act”) and Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Rules, 2013 (the “Rules”). While the policy covers all the key aspects of the Act, for any further clarification reference shall always be made to the Act and the provisions of the Act shall prevail

DEFINITIONS

- 1.1 “Aggrieved person” means, a person, whether employed or not, who alleges to have been subjected to any act of sexual harassment by the respondent and includes contractual, temporary employees, partners, consultants, vendors, interns, volunteers and visitors.
- 1.2 “Employee” means a person employed at a workplace on regular, temporary, adhoc or daily wage basis, either directly or through an agent including a contractor, with or without the knowledge of Great Lakes, whether for remuneration or not, or working on voluntary basis or otherwise, whether the terms of

engagement are expressed or implied and includes a co-worker, a contract worker, probationer, trainee, apprentice or called by any other such name.

- 1.3 “Employer” means person who is responsible for management, supervision or control of the workplace including appointment/removal/termination of employees
- 1.4 “Complainant” is any aggrieved person (including a representative as more fully described under Rule 6 of the said Rules, if the aggrieved person is unable to make a complaint on account of his/her/their mental incapacity or death or otherwise) who makes a complaint of sexual harassment under this policy.
- 1.5 “Respondent” means a person against whom the aggrieved person has made a complaint of sexual harassment under this policy.
- 1.6 “Workplace” means:
 - (a) Institute Campus, city office, or places visited by the employees out of or during the course of employment including accommodation, transport provided by the employer for undertaking such journey.
 - (b) any social, business or other functions where the conduct or comments of employees or Company contractors, vendors, consultants, business associates may have any adverse impact on the workplace or workplace relations of employees inter se or with others.
- 1.7 “Sexual harassment” includes any one or more of the following unwelcome acts or behaviour (whether directly or by implication) namely:
 - Physical contact and advances;
 - A demand or request for sexual favours;
 - Making sexually coloured remarks;
 - Showing pornography;
 - Any other unwelcome physical, verbal or non-verbal conduct of sexual nature.

The following circumstances, in relation to or connected with any act or behaviour of sexual harassment may amount to sexual harassment (not an exhaustive list):

- Implied or explicit promise of preferential treatment in employment.
- Implied or explicit threat of detrimental treatment in employment.
- Implied or explicit threat about present or future employment status.
- Interfering with work or creating an intimidating or offensive or hostile work environment.
- Humiliating treatment likely to affect health or safety.

Sexual harassment may include a range of subtle and not so subtle behaviours and may involve individuals of the same or different gender. Depending on the circumstances, these behaviours may include, but are not limited to:

- Unwanted sexual advances or requests for sexual favours
- Sexual jokes and innuendo- in person or even through messages
- Verbal abuse of a sexual nature
- Commentary about an individual's body or dress with sexual overtone, sexual prowess or sexual deficiencies
- Leering, catcalls or touching
- Insulting or obscene comments or gestures, jokes or stories
- Display or circulation in the workplace of sexually suggestive objects or pictures (including through e-mail and on phone)
- Objectionable physical proximity
- Other physical, verbal or visual conduct of a sexual nature
- Actual sexual assault

COMPLAINT PROCEDURE

Great Lakes will make every effort to stop alleged harassment before it becomes severe or pervasive, but can only do so with the cooperation of its staff/employees.

a. Reporting an Incident of Sexual Harassment

Great Lakes strongly urges the reporting of all incidents of sexual harassment or retaliation, regardless of the respondent's identity or position. If any aggrieved person believes to have been subjected to sexual harassment, he/she/they can approach the IC and file a complaint as described below:

- i. Complaint can be raised verbally, over phone or via email. A complaint may be made within a period of three (3) months from the date of occurrence of an incident/last incident.
- ii. The IC may, for reasons to be recorded in writing, extend the time limit up to three (3) months, if it is satisfied that the circumstances were such which prevented the employee from filing a complaint.
- iii. It is expected that the written complaint should have complete details of the incident /incidents and all possible supporting documents (messages, mails, etc.).

Where an aggrieved person is unable to make a complaint on account of physical incapacity, a complaint may be filed by-

- his/her/their relative or friend; or co-worker;
- or any person who has knowledge of the incident, with the written consent of the aggrieved person

INTERNAL COMPLAINT COMMITTEE: ANTI- SEXUAL HARASSMENT COMMITTEE (IC)

Email ID: safe.ggn@greatlakes.edu.in

S. No.	Name	Status	Contact No.
1.	Dr. Poornima Gupta	Chairperson	9818130344
2.	Dr.Bappaditya Mukhopadhyaya	Member	9810573259
3.	Mr. Samiran Baral	Member	9319977107
4.	Ms. Sumiti Shukla	Member	9711556704
5.	Dr. Nidhi Marwaha	External Member	9136888888

Once the written complaint has been received, the committee members will check to ensure all the relevant details are captured and the gravity of the concern ascertained.

b. Conciliation

- Before initiating an inquiry and at the request of aggrieved person, IC may take steps to settle the matter through conciliation ("Conciliation" is a process of settling disputes in a friendly manner by bringing opposing sides together to reach a compromise). No monetary settlement shall be made as a basis for such conciliation.
- Where a settlement is arrived at basis conciliation, the IC shall record the settlement so arrived and forward the same to the employer to take action as specified in the recommendation.
- The IC shall provide the copies of the settlement recorded as stated above to the aggrieved person and the respondent.
- Where a settlement is arrived at basis conciliation, no further inquiry shall be conducted by the IC.

c. Procedure of Inquiry

- In case where a settlement is not feasible or could not be arrived at through conciliation (refer clause b above), the IC will conduct an inquiry into the complaint. Additionally, an inquiry will also be initiated if the aggrieved person informs the IC any terms of settlement (refer clause b (ii) above) has not been complied with by the respondent.

- b. The IC shall send a copy of the complaint received from the aggrieved person to the respondent within seven (7) working days.
- c. The respondent shall file his/her/their reply to the complaint along with list of documents and names and addresses of witnesses if any, within ten (10) working days from receipt of copy of the complaint.
- d. The IC shall conduct inquiry in accordance with principles of natural justice. Both the parties shall be given reasonable opportunity to be heard along with witnesses and to produce any other relevant documents before the IC.
- e. Where both the parties are employees, the parties shall during the course of inquiry, be given an opportunity of being heard and a copy of the findings shall be made available to both the parties enabling them to make a representation against the findings before the Committee.
- f. Upon completion of the inquiry, a copy of the report shall be made available to both the parties within 10 days.
- g. The IC shall have the right to terminate the inquiry proceedings or decide the complaint, if the complainant or respondent fails, without sufficient cause, to present herself or himself or themselves for three consecutive hearings convened by the Presiding Officer after giving a notice in writing, fifteen days in advance, to the concerned party.
- h. The parties shall not be allowed to bring in any legal practitioner to represent them in their case at any stage of the proceedings before the IC.
- i. In conducting the inquiry, a minimum of three members of the IC including the Presiding Officer shall be present.
- j. All complaints shall be finally determined within a period of ninety (90) days of the complaint having been made.

d. Responsive Action

An inquiry may result in one of the following conclusions-

- i. The allegation against the respondent has been proved:

In this case, IC shall recommend to the employer to take any action for misconduct against the respondent which may include -

- Counselling
- Educating
- Warning
- Monitoring of the respondent
- Reprimand
- Withholding of a promotion or pay increase
- Reduction of wages
- Demotion

- Reassignment
 - Temporary suspension without pay
 - Termination
 - Deductions from the respondent's salary; to compensate for the mental trauma, pain, emotional stress, suffering, medical expenses, loss of career opportunity, income or status of the Complainant.
 - If the complaint is of a very serious nature, the IC might resort to reporting the matter to the police.
- ii. In case the complaint is proven to be false, the action taken against the Complainant can be as follows:
- Counselling
 - Educating
 - Warning
 - Monitoring of the Complainant
 - Reprimand
 - Withholding of a promotion or pay increase
 - Reduction of wages
 - Demotion
 - Reassignment
 - Temporary suspension without pay
 - Termination
 - Deductions from the Complainant's salary; to compensate for the mental trauma, pain, emotional stress, suffering, medical expenses, loss of career opportunity, income or status of the Respondent.
 - If the complaint is of a very serious nature, the IC might report the matter to the police.

In case no charges are proved, then no action will be taken

The Committee should maintain the particulars of every complaint received, and maintain the record of these complaints for as long as legally required. These records would include the description of the incident, details of the complainant, respondent and witnesses, inquiry process followed, findings & recommendations.

RIGHTS OF A COMPLAINANT *(during inquiry)*

- A Complainant can request for their own transfer or transfer of the respondent or 3 months of leave (on approval from IC).
- The Complainant can also request for holding off on their appraisal/ performance review, in case being undertaken by the respondent, or being supervised by the respondent on their academic activities.

RETALIATION IS PROHIBITED

Great Lakes prohibits retaliation against any individual who reports harassment or participates in an investigation of such reports.

Retaliation against an individual for reporting harassment or for participating in an investigation of a claim of harassment is a serious violation of this policy and, like harassment itself, will be subject to disciplinary action.

CONFIDENTIALITY

- Great Lakes will ensure utmost confidentiality of any complaint raised. Great Lakes prohibits the disclosure of information on any complainant, respondent, witnesses, incident itself, inquiry process followed, findings, recommendations and actions taken.
- Under no circumstances, will Great Lakes make known the above details to public, press or media. The above information shall not be published or communicated formally or informally, and all the records will be retained and kept confidential.
- However, information may be disseminated regarding justice secured; without disclosure of name, address, identity of any involved, or any other particulars.
- Any person who breaches the duty of confidentiality shall be liable for penalty of Rs. 5000/-.

OTHER GUIDELINES

- The availability of this complaint procedure does not preclude individuals who believe they are being subjected to harassing conduct from promptly advising the respondent that his or her behaviour is unwelcome and requesting that it be discontinued.
- This policy should not, and may not, be used as a basis for excluding or separating individuals of a particular gender, or any other protected characteristic, from participating in business or work-related social activities or discussions in order to avoid allegations of harassment.
- The law and the policies of Great Lakes prohibit disparate treatment on the basis of sex or any other protected characteristic. The prohibitions against harassment and retaliation are intended to complement and further these policies, not to form the basis of an exception to them.
- Individuals who have questions or concerns about these policies should talk with the Human Resources Department.

THERE IS NO EXCEPTION TO THIS POLICY.

RECRUITMENT & ON- BOARDING POLICY

OBJECTIVE & PHILOSOPHY

The Objective of this policy is to provide a clear guideline on the recruitment process that we follow in Great Lakes, Gurgaon. The process has been designed to be rigorous, such that all aspects of the role requirements are evaluated to ensure a successful hire.

The Great Lakes Institute of Management, Gurgaon believes in offering Equal Opportunity to all prospective candidates. The institute believes in inclusivity and welcomes candidates from all backgrounds, thereby developing a diverse employee base.

Applicability

This policy is applicable to all employees and prospective candidates of Great Lakes Institute of Management, Gurgaon.

RECRUITMENT PROCESS

The process begins with identifying a vacancy in a function, by the respective Function Head/ faculty along with HR. Thereafter approval from the Director is taken for the same.

HR works in conjunction with the Functional Head/ Faculty to draft out a Job Description (JD) for the role, defines years and quality of experience, education, skills, aptitude etc.

a. Generating Candidate Profiles

The JD once finalised, is advertised on Online Job Boards (like LinkedIn), our website, circulated to recruitment consultants and informed to fellow colleagues for referrals.

The candidate profiles once received, are vetted by HR and then goes through an initial screening round (by HR) to ensure alignment to the role requirements, budget etc.

b. Interview Process

Faculty Interviewing Process

This is a robust process, designed to identify the best fit for our institute's teaching & research requirements. The process follows the following steps-

- The candidate profiles are shortlisted by the Director
- The CV of the shortlisted candidates is circulated to all faculty members for their feedback
- Once shortlisted by the faculty members, a discussion is held with the candidate by the area members
- Post meeting of the area members, the candidate is required to participate in a Faculty Seminar, attended by the current Faculty staff, along with an external expert
- The candidate is also required to present to students, in a student seminar
- Feedback is taken from each of these forums, and if selected through the above stages, the candidate is interviewed by the Director & Board Member
- The Director then shares his recommendation on the candidate with the Chairman, who gives a final go-ahead

Non- Teaching Roles

The shortlisted profiles are shared with the Functional Head/ Reporting Officer for further functional interview rounds.

The initial rounds are telephonic or over zoom calls and thereafter the final candidate is invited over to the campus for an in- person round. This involves meetings with the Reporting Officer, Functional Head, HR & if required, the Director.

c. Reference Check

The shortlisted candidate is required to provide 2-3 reference checks of seniors/ Reporting Officers they have worked with previously. The reference check is undertaken either by HR or the Director (in case of Faculty), over phone or over email.

d. Offer Letter

Once positive references are received, the finalised candidate is given an Offer Letter over email, enumerating the designation, CTC offered, date of joining and other institutional requirements.

The candidate is required to sign and send across a copy, as a mark of their assent.

ON- BOARDING

The New Employee is welcomed on the day of joining by the Director or Program Director with a planter. There is a *Welcome email* which is sent across to the entire organization, introducing the newest member to the team. The joining is marked by the signing of the *Joining Report*.

HR takes them through an institute induction, followed by a campus tour and personal introductions with the team at large.

The New Employee is also given joining forms, issued laptop/ desktop, stationery and assigned a work space.

PROBATION

Every new employee goes through an initial period of adjustment in order to learn about the Institute and about his/her job. During this time the employee will have an opportunity to find out if he/she is suited to, and likes, his/her new position.

Additionally, the initial employment period gives the employee's Reporting Officer a reasonable period of time to evaluate his/her performance. The Probation period is six months. Probation Period depends on each position and Grade.

During this time, the new employee will be provided guidance from his/her Reporting Officer. He/she may be discharged at any time during this period if his/her Reporting Officer concludes that he/she is not progressing or performing satisfactorily. Under appropriate circumstances, the probation may be extended.

At the end of the Probation period, the employee and his/her Reporting Officer may discuss his/her performance. [or; At the end of the initial employment period, his/her Reporting Officer will provide a work review to him/her.] Provided his/her job performance is "satisfactory" at the end of the Probation period, he/she will continue in our employment as a Confirmed employee. No employee shall be deemed to be a confirmed employee until and unless confirmed in writing.

CONDITIONS OF SERVICE

- a. **Employees in Probation:** Those who have not completed six months of service are in probation. In case an employee does not fulfil the requirements & expectations of the role may be given extension of probation. This period may be extended twice for a period of 3 months at a time. The management may also, in its absolute discretion, confirm the services of the probationer before the stated period of probation on the basis of outstanding performance. These probation rules supersede whatever may be written in the appointment letter regarding probation.

- b. Confirmed Employees:** Employees who have completed six months of service or any extended period thereof and have been explicitly confirmed in writing.

REHIRE POLICY

Great Lakes Institute of Management, Gurgaon has over the years made continual efforts to create a good work culture. As a result, a lot of employees who leave the institute, express a desire to come back to Great Lakes for employment.

Great Lakes is happy to welcome back employees who have had a good work experience in the institute previously. For an ex- employee to be re- considered for employment, we recommend at least a 3 months cool- off period. The employment, upon consideration, is offered at the same level and compensation.

In case the ex- employee has applied for a different role, then they required to go through the recruitment cycle again against a different role and re- evaluated for fitment, designation and compensation.

Approving Authority

The approval for re- hire will be given by the Director of the institute.

RELOCATION POLICY

This policy is aimed at covering the genuine expenses incurred while moving the base location of a new employee or transferring a current employee. The same has to be agreed upon before the Offer letter is issued.

The aim is also to provide reasonable level of safety and comfort for prospective employees and their families, in a cost- efficient manner. Employees are expected to minimise the expenses without impacting professionalism.

RELOCATION EXPENSES

The relocation assistance that we provide is upto one month's basic or Rs 50,000/- whichever is lower.

The following are considered as valid expenses in respect of which reimbursement can be availed-

- Relocation expenses can be claimed against air tickets or train tickets, in compliance with the categories defined (A1- A4) in respect of Domestic Travel. This would be applicable for the shortest distance between the base location & our office location. This can be availed for the employee and their immediate family.
- Relocation can also be claimed against expenses incurred for packers & movers, for moving household goods.

EXPENSES REIMBURSEMENT

- Approval – The reimbursement would hold valid against a prior written approval by the Director of the institute.
- Employees are required to submit the original bills, along with the reimbursement form, duly filled, to the Finance team.
- Employees are required to submit their bills within 1 month of joining

EMPLOYEE DESIGNATIONS

Employees in the organization fall under one of two categories – **Academic Staff** and **Non- Academic staff** with the following hierarchy of designations.

ACADEMIC STAFF

- Research Officer
- Senior Research Officer
- Lecturer
- Senior Lecturer
- Assistant Professor
- Associate Professor
- Professor

NON-ACADEMIC STAFF

- Executive
- Senior Executive
- Assistant Manager
- Manager
- Senior Manager
- Assistant General Manager
- Deputy General Manager
- General Manager
- Associate Director
- Senior Associate Director
- Department Director

Lecturer and above in the academic staff are considered as **Faculty**. Assistant Manager and above in the non-academic staff are considered as **Managerial staff**.

COMPENSATION & BENEFITS POLICY

OBJECTIVE & PHILOSOPHY

The Compensation & Benefits policy will define the principles for devising the Compensation & Benefits for each employee.

The Objective is to create a fair, transparent and equitable compensation structure for employees across levels/ bands and functions. This would also be reflective of the role, the level of responsibility, individual efficacy and the kind of impact the role has on the Institutional performance. The idea is to develop a performance driven institution.

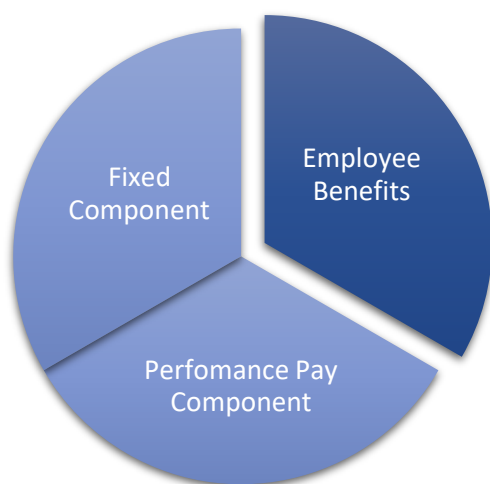
This would be employed as a guideline for creating salary structure for new hires and existing employees through their annual appraisals.

Applicability

This policy is applicable to all employees of Great Lakes Institute of Management, Gurgaon.

COMPENSATION STRUCTURE

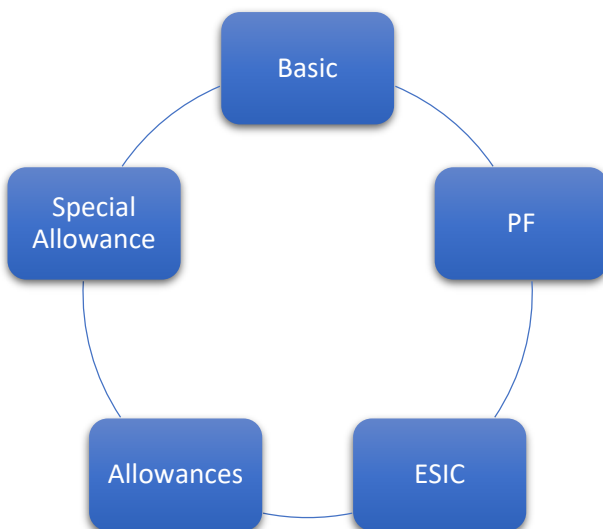
The Annual Cost to Company (CTC) would include the following components-



Each of these have been delved in detail below.

FIXED COMPONENT

This is the monthly pay out which is given out to every employee. The fixed salary will include the following components-



a. BASIC

Applicability: All Employees

This is the fixed monthly payout, which is calculated at 50% of the annual fixed salary of the employee.

b. PROVIDENT FUND (PF)

Applicability: All Employees

All Eligible employees are covered under Provident Fund Act and the contribution made by the employee and employer is deposited with the Regional Provident fund office. This is in line with the *Employees Provident Fund and Misc. Provisions Act, 1952*.

Monthly Contribution

Employer Contribution: 12% of the Basic or Rs.1800, whichever is lesser

Employee Contribution: 12% of the Basic or Rs.1800, whichever is lesser

Voluntary PF : An employee can choose to increase their contribution for PF, to the tune of their Basic Pay. However, the Employer contribution will remain the same as stated above.

Employees will be provided a UAN number and a PF number, in respect of their PF contributions; the same will reflect in their payslips. The employees can access the UAN portal (<https://unifiedportal-mem.epfindia.gov.in/memberinterface/>) for further details.

c. ESIC

Applicability: All Employees with a monthly gross salary of equal to or less than Rs.21000/-

As per the provisions of the *Employee State Insurance Act 1948*, employees are provided with medical benefits which cover the employee, their parents, spouse and dependent children. An ESIC card is issued to the employee on joining to avail the facility[y].

This is a mandatory deduction for employees who's monthly gross salary is less than Rs.21000/-. This is a monthly deduction with the contribution from employee & employer. The amount for both the employee and employer contribution is deducted from the employee's salary.

d. TAX SAVING ALLOWANCES (VOLUNTARY)

Applicability: All employees as per the Annual Cost to Company (CTC) of the employee

We offer a bunch of Tax- saving allowances for our employees. These can be structured as per the requirements of an employee.

These are reimbursements which will be paid every month against supporting bills. Each of the components has an annual cap, enlisted below-

Annual Fixed Salary	Mobile (Monthly)	Internet (Monthly)	Professional Development Allowance (Monthly)	LTA (Monthly)
Upto 10,00,000/-	750	750	2000	3000
Rs.10,00,000- Rs.20,00,000/-	1500	1500	5000	4000
Above Rs.20,00,000/-	2000	2000	7000	5000

HRA

This is a monthly component which is extended in lieu of rented accommodation. We offer 50% of the Basic as HRA.

Rent slips need to be submitted for claiming this reimbursement. The Tax- exempted component is calculated as the lowest of the following three-

1. Actual HRA Received
2. Actual Rent paid minus 10% of Basic
3. 40% of Basic

Phone & Internet Allowance

Phone & internet expenses borne by the employee for official requirements will be reimbursed monthly against bills. Please refer to the allowances table for the maximum amount applicable for a given salary range.

Professional Development

These are the expenses on professionally relevant books, e- books, trainings, attending conferences, seminars. The actual expenses will be reimbursed against supporting bills.

It is mandatory to attach Reporting Officer's approval for attending training/seminar.

Leave Travel Allowance (LTA)

These are the travel expenses incurred by the employee while on vacation with family. This component can be availed twice in a block of 4 years (current block 2022- 2025).

The tax- exemption is given for air/ rail travel (supported by bills), through the shortest possible routes between two points. Employees would need to apply for at least 3 days of Earned Leave to validate this exemption. LTA is applicable for travel only within India.

e. SPECIAL ALLOWANCE

Applicability: All employees

The amount left over from the Fixed Component after compensating for Basic, PF, ESIC, Tax- saving Allowances is given as Special Allowance. This is a monthly pay out and is fully taxable.

Allowance Pay-out Mechanism

The administration of the Tax- Saving Allowances will be done quarterly.

The following points need to be kept in mind, while availing these Allowances-

- Employees need to structure their allowances at the start of the financial cycle or the at time of joining and inform HR on the same via email.
- The bills furnished for claiming allowances should be in the name of the employee.
- The bill should pertain to the month for which reimbursement is being claimed
- We follow the Financial year for claiming Allowances
- The claims will be reimbursed at the end of the quarter, post salary disbursement
- Any Employee taking reimbursements for similar expenses incurred separately for official purpose will not be eligible for the similar category in salary breakup. i.e. telephone/internet claims, over & above salary will not be available if the employee also submits bills for mobile/internet reimbursements as per this policy.
- The amounts left over from the opted Allowances, at the end of the financial year, will be given with the salary of March. This left-over amount will be fully taxable.

Standard Rules for claiming LTA reimbursement:

1. Leave Travel Allowance is paid for travel cost incurred by an employee on travel within the country when she/he is on leave with the family or alone.
2. **Exemption of Fare Only** -The allowance is only to be claimed for fare, i.e. actual travel costs incurred by the employee. The total cost of stay and other expenses is not covered, only the travelling cost is covered. The reimbursement amount is calculated based on the shortest route between source and destination. Submission of original train tickets/air boarding pass is mandatory.
3. **Mode of Travel:**
 - a. *Economy class airfare OR 2nd Class AC train fare*
 - b. *If cab is rented, the claimable amount would be capped at 2nd Class AC fare for travel between the two locations*
4. Leave for the purpose of claiming LTA is only Earned Leave and three continuous days of leave is mandatory.
5. **Meaning of Family for LTA** – The meaning of ‘family’ for the purposes of exemption includes spouse and wholly dependent children and parents.
6. **Travel within India only allowed**– Travel has to be undertaken within India and overseas destinations are not covered for exemption.
7. **Restriction on Number of Child for Claiming LTA** – Exemption is not available for more than two children of an individual. The term “Child” includes a step-child and an adopted child of the individual.
8. **Is exemption available every year?** No. The tax rules provide for an exemption only in respect of two journeys performed in a block of four calendar years. The current block runs from 2022-2025. If an individual does not use their exemption during any block on any one or on both occasions, their exemption can be carried over to the next block and used in the calendar year immediately following that block.
9. **Using less than Declared Claim:** If you apportioned, say, Rs. 40,000 for LTA, but only have bills for Rs. 25,000, the remaining amount will be processed, with appropriate tax deductions, in the March salary of that financial year.
10. **Can I Claim LTA Twice in a Year?** Though you can claim two journeys in a block of four years, you can claim the LTA benefit just once in a year. You cannot claim both the journeys in one year. So, while a person can get an income tax exemption for two journeys in a block of four calendar years, he can make a trip only once a year. If you make two trips in a year, you lose one.
11. LTA is often the most unutilized of exemptions but which can let you save huge amount of taxes if claimed. So this time make sure that your holidays not only give you that much needed break but also save you taxes.

PERFORMANCE PAY COMPONENT

This is an annual component which reflective of an employee's performance.

This would be based upon the actual performance outcomes achieved in the annual cycle, against the KRAs defined at the beginning of the year (*refer the Performance Appraisal Policy*). The Performance Rating achieved will determine the amount of Performance Pay given to the employee.

A new Performance Payout (Variable) percentage structure has been put in gradual implementation, effective October 2023. The Objective is to create a fair, transparent and equitable compensation structure for employees across levels and functions.

The new Performance Pay Percentages, in respect of the Annual CTC, is as follows-

Annual CTC (Lakhs)	>40 L	26- 40 L	16- 25 L	8- 15 L	<7 L
Performance Pay (%)	12.50%	10%	7.50%	5%	0

Employees would be given Performance Pay at the end of the year (in two cycles- April & October). This amount will be fully taxable.

EXTRA TEACHING HOURS PAYMENT TO FACULTY

Applicability: All the teaching employees

Faculty is entitled to additional payments for extra hours taught, research output, academic administration etc. during the academic year apart from their annual fixed compensation. This is provided to recognize and reward additional effort put in by the faculty towards Institute's teaching requirements. The Program Office, in consultation with the faculty and Director's office, is the custodian of all data pertaining to teaching hours for the faculty. The HR department is the disbursal department for such payments.

Please refer to the *Faculty Points System (July 2023)* document for further details. HR shall provide the faculty with the same.

TAX REGIME

Employees at the time of joining or the start of the Financial cycle can decide on the Tax- regime they would like to follow for the year, the Old or the New. This is to be informed to HR by email.

The New regime offers lower tax slabs, while the Old regime offers options to save tax by declaring annual investments.

CYCLE FOR PAYMENT

Salary payment is made on the last working day of the month. It is the Institute's policy that employee pay checks will only be transferred electronically to their respective salary account.

If the normal payday falls on an Institute-recognized holiday, pay checks will be distributed on last workday prior to the aforementioned schedule. Payslips are updated timely to help understand the salary payments made and statutory deductions, if any.

In case, a new employee joins post the 25th of a month, their salary is processed in the next month's cycle.

EMPLOYEE BENEFITS

Applicability: All employees

DISCLAIMER

The Institute has established a variety of employee benefit programs designed to assist employees and their eligible dependents in meeting the financial burdens that can result from illness and disability, and to help plan for retirement.

Please note that nothing contained in the benefit plans described herein shall be held or construed to create a promise of employment or future benefits, or a binding contract between the Institute and its employees, retirees or their dependents, for benefits or for any other purpose. All employees shall remain subject to discharge or discipline to the same extent as if these plans had not been put into effect.

As in the past, Great Lakes reserves the right, in its sole and absolute discretion, to amend, modify or terminate, in whole or in part, any or all of the provisions of the benefit plans described herein, including any health benefits that may be extended to retirees and their dependents. Further, the Institute reserves the exclusive right, power and authority, in its sole and absolute discretion, to administer, apply and interpret the benefit plans described herein, and to decide all matters arising in connection with the operation or administration of such plans.

For more complete information regarding any of our benefit programs, contact the Human Resources Department.

a. HEALTH INSURANCE

Great Lakes currently offers Group Health insurance to regular full-time employees' who have been in the employment with Great Lakes. The Human Resources Department will assist you in making the necessary arrangements for enrolment. A complete description of the plans is provided to each employee as Summary Plan Descriptions and appropriate supplements.

Great Lakes pays 100% of the premium for individual coverage for all eligible employees and family. Family includes Spouse and Two dependent children (below 25years) only.

b. ACCIDENT INSURANCE

The Institute offers regular full-time employees who have been employed by GREAT LAKES accident insurance coverage from the date of joining.

c. GRATUITY

This is an end of service benefit, which comes into effect on completion of 5 years of continuous service with Great Lakes, Gurgaon. This is as per the provisions of the *Payment of Gratuity Act 1972*.

Gratuity is calculated as 15 days of Basic (average of last 10 months) for every year of service completed at the time of leaving the Institute or at the time of retirement. This is subject to a maximum limit of Rs.3,50,000/-.

There is no deduction from the salary for Gratuity, however, this is paid out at the separation.

d. EMPLOYEE ADVANCE SCHEME

Only Confirmed employees and who have completed 1 year of service, post confirmation are eligible for this benefit.

Quantum – 1 month's Salary, or higher subject to Approval

Advance will be interest free.

Repayment – Next Pay month or as decided by the Management.

Only one Loan will be sanctioned during a Financial Year. Sanctioning of the Loan will be at the Sole discretion of the Management.

e. EMPLOYEE POOL CAR TRANSPORT FACILITY

The Institute provides pool car facility to its employees for pick up and drop at the Institute from and to designated pick up points and routes in the city of Gurgaon. The Administration department is the point of contact for this facility. This facility is free of cost for the employees as per existing management policy. The employee on joining has to let HR know whether she/he will be availing this facility. HR will inform Admin, which in turn shall work to see which route best suits the employee needs.

f. FULLY FUNCTIONAL GLIM WELLNESS BAY, GURUGRAM

The Institute operates a fully functional Wellness Bay for its students and employees. The Bay is well equipped with a Nurse and frequent visits from a trained doctor. The Bay provides first aid facilities and is well- equipped

to handle emergencies. First aid medicines are free for all staff. This facility is free of cost for all the Institute's employees as per existing management policy.

g. SCHEME FOR FACULTY TO ATTEND NATIONAL AND INTERNATIONAL SEMINARS/WORKSHOPS
ETC

h. COMPLIMENTARY MEALS

All employees are provided freshly cooked hygienic meals along with refreshments at designated hours in the Cafeteria of the Institute. This service is entirely free of cost for all employees. Meals are served three times during the day, along with evening snacks. The Institute additionally maintains pantry service for refreshments which is also an Institute borne expenditure. Apart from this, there are paid meal stations to cater to the employees.

i. PSYCHOLOGIST COUNSELLING SESSIONS

j. FREE USE OF GUEST HOUSE FACILITIES

Employees who are required to stay back on campus for Institute related activities are entitled to free use of Guest House. The Administration department is the custodian of all such requests and facilities.

LEAVE POLICY

OBJECTIVE & PHILOSOPHY

The scope of this document is to inform about the working days, hours and different types of leave available for employees of Great Lakes, Gurgaon; along with the procedures to apply for the same.

Applicability

This policy is applicable to all employees of Great Lakes Institute of Management, Gurgaon.

WORKING DAYS

The Institute follows a six- day work week. Employees, whose role and job requirements allow it, can work a five-day week.

Employees may need to come in to work on Sundays and declared holidays as per requirements that come up from time to time. In such a case, they are entitled to take compensatory off, in lieu thereof, within 30 days. Managerial Staff (Assistant Manager & below) is eligible for Compensatory Leave. It will be accrued as one day for working 5 or more hours and half a day for working less than 5 hours.

LEAVE

Employees are offered leave for the work days that they invest in the institute. The type of leaves that an employee can avail are:

- a. Earned Leave (EL)
- b. Casual Leave (CL)
- c. Medical Leave (ML)
- d. Maternity Leave
- e. Paternity Leave

Type, Entitlement and Accrual

Leave	Annual Entitlement	Maximum Accrual
Earned Leave	15	30
Casual Leave	9	0
Medical Leave	7	28
Maternity Leave	26 weeks	
Paternity Leave	2 weeks	

Earned Leave (EL)

Once an employee is confirmed after the probation period, they will receive 1.25 ELs per month. This will be credited to their account at the end of every month. If an employee completes their probation during a given month, EL at the end of the month will be credited on a prorated basis depending on when in the month the employee's probation period ended.

During the probation period an employee is not eligible for any EL.

Accumulation of ELs is permitted till it reaches a limit of 30 after which no further accumulation will occur. For non-teaching employees, the accumulated leaves which are above 30 days, may be encashed at the end of the Calendar year. The encashment is calculated basis the average figure of Basic component, over the period of last 10 months.

EL is also encashed at the time of termination, resignation, retirement/ completion of contract, in alignment with the above calculation. ELs can be adjusted in the notice period. While serving the notice period, post resignation, an employee can avail Earned Leave upto 1.5 days per month.

Casual Leave (CL)

All employees will receive 0.75 CLs per month including during the period of probation. 4.5 CLs will be credited to the employees' accounts in advance for the next 6 months on January 1 and July 1 of each year.

For employees who join at any given time during a year the number of CLs to be credited will be prorated at the rate of 0.75 CLs per month for the time remaining till the next CL crediting date. An employee can avail at the max 3 CLs at a time.

CLs can accumulate during a calendar year, but lapse at the end of the calendar year. No encashment of CLs are permitted.

While serving the notice period, post resignation, an employee will not be able to avail Casual Leave.

Medical Leave (ML)

Once an employee is confirmed after the probation period, they will receive 7 MLs per year. This will be credited to their account in advance for the year on January 1 of each year. For employees who join at any given time during a year the number of MLs to be credited will be prorated at the rate of 7 CLs per year for the time remaining till the next ML crediting date.

During the probation period an employee is not eligible for any ML. Accumulation of MLs is permitted till it reaches a limit of 28, after which no further accumulation will occur. No encashment of MLs are permitted.

For medical leave of more than 3 days at a stretch, a recognized Doctor's certificate is essential to get the leave granted, or a discharge certificate in the case of hospitalization.

While serving the notice period, post resignation, an employee can avail the Medical Leave.

Maternity Leave

- All female employees who have worked for more than 80 days (including probation period) in the twelve months immediately preceding the date of her expected delivery, is eligible for maternity leave with full salary.
- All women employees of the organization are eligible for 26 weeks of maternity leave for the birth of their first two children. Such leave may commence upon delivery of the child or a maximum of 8 weeks prior to the estimated delivery date.
- For the third child - Maternity benefit is limited to 12 weeks.
- The intended date of commencement of such leave must be communicated at least two weeks in advance.
- *Adoption Leave* – Woman employee who legally adopts a child below the age of 5 years or a Commissioning Mother shall be entitled to Maternity Benefit for a period of 12 weeks from the date the child is handed over to the adopting mother or the commissioning mother.
- *Miscarriage* – In case a women employee goes through a natural miscarriage, she is entitled to 6 weeks of paid leave, upon production of documentation, starting from the day of the miscarriage.

Paternity Leave

This leave may be granted to male employees, upon the delivery of their child. Employees can avail upto 10 days of leave within 3 months of the birth of the child. This is applicable for the first two children.

Adoption Leave - Male employees can avail this leave in case of legal adoption of child below the age of 5 years.

Study Leave

Study leave for a maximum period of two years may be given on recommendation of the Director and approved at the discretion of the Board, only after the employee has completed four years of service, post the probation period. During the period of study leave, the employee will not be entitled to draw any salary, but his/her position will be maintained on return after the leave period. The employee will also not be automatically entitled for promotion as a result of receiving any advanced degree during the course of study leave.

Leave without Pay (LWP)

Any non-medical leave taken by an employee after exhausting all CLs and ELs will be treated as LWP. Any medical leave taken after exhausting all MLs can be adjusted against available CLs and MLs and once they are also exhausted then it will be treated as LWP.

Work from Home (WFH)

All employees are eligible for 2 days of WFH every month. WFH will not be carried forward to the next month and will lapse at the end of every month.

Employees serving the notice period will not be eligible for WFH.

PUBLIC HOLIDAYS

Twelve holidays, including national holidays, festivals, and others will be given that do not fall on Saturdays or Sundays. These will be published before the beginning of the year. These shall include restricted holidays.

Every year in the beginning of the Calendar Year, the updated Public Holidays list will be shared by HR with all the employees.

TAKING LEAVE

Weekends, declared holidays falling within the leave period will not be counted as leave and only working days will be counted in the case of CLs and MLs. For ELs, however, weekends and declared holidays falling within the leave period will be counted as leave.

Any leave & WFH that is to be taken should be communicated to the Reporting Officer in advance. For leave of 1 day, the communication should be at least 3 days before. For leave between 2 to 5 days at least 1-week advance notice should be given. For leave of more than 5 days, at least 2 weeks' advance notice should be given.

In the case of emergencies where the leave is not planned, information must be given on the morning of the day the leave is being taken. This information can be given to the Reporting Officer through a phone call, email or a text message. If leave is taken with no communication whatsoever to the Reporting Officer, then 5 days leave without pay will be charged for each day of uninformed leave taken.

RESPONSIBILITY

The Reporting Officer of the employee is responsible for approving/ rejecting the leave/s applied by an employee. It is the responsibility of the Human Resource personnel to enter/ delete the names of the new and ex-employees into and from the Software/ Database system accurately and monitor the system periodically.

EMPLOYEE RECOGNITION & REWARD

The Institute acknowledges the need to motivate employees by recognizing and rewarding exemplary contribution and performance.

Apart from the annual increment policy, the Institute in consultation with the Board of Governors has instituted awards in the form of “*Best Employee Award*” and “*The Spirit of Great Lakes*” which are bestowed annually to distinguish and honour exemplary performance.

The Institute also takes cognizance of long service and has constituted rewards at 5 and 10-year service milestones, for all its employees.

PERFORMANCE MANAGEMENT POLICY

OBJECTIVE & PHILOSOPHY

To create a simple, easily understood mechanism, which helps

- Establish mutually agreed upon annual performance objectives for employees
- Ensuring the employee objectives are aligned to the Organizational goals- alignment of efforts
- Employing these Objectives to arrive at a clear understanding of individual performance against the established goals
- Employing the Performance Ratings to work out clear percentages of increment, Performance Pay, Promotion etc
- Employing the Performance reading for Talent Management- Critical Talent Identification, Critical Roles, Succession Planning, High Performers'/ High Potential Employees

Applicability

This policy is applicable to all employees of Great Lakes Institute of Management, Gurgaon.

PERFORMANCE MANAGEMENT PROCESS

Applicability: This is applicable for non- teaching employees

Goal Setting

This would be a top – down process, to ensure the entire organization works towards the same goals.

- The Management & Leadership team gets together before the beginning of the Annual Financial cycle and works out the Annual Organizational Goals, Organizational Priorities and any new Initiatives they would like to launch in the given year
- The above is communicated to the Organization at large, ensuring a clear understanding of the same
- These Organizational Goals are used as the background template to work out the Functional Goals
- These Functional Goals further translate into Individual Goals.

Goal Sanctity Check

To ensure clear alignment and linkages with the Organizational Goals. This Goal Setting process will begin and close in April of every year. The following are the steps that need to be taken-

- Goal Setting Exercise would start with trainings (Goal Setting Training) on the process for all employees. This would help them understand the process, important aspects to take care of and introducing the employees to the Goal Sheet format (refer Annexure).
- The goals need to follow the SMART principle- Specific, Measurable, Achievable, Relevant and Time-bound.
- It is recommended to have not more than 5 goals; else the weightage of the goals will be too segmented to make an impact.
- If required, we can introduce a Linkages column, to check for Individual goals alignment with Organizational Goals
- Each goal has to be assigned a weightage of not less than 10% and not more than 30%; totaling up to 100%. This would be indicative of the importance & criticality of a particular goal
- Thereafter, Functional Heads and then the Reporting Officers in turn, help the team members to work out their goals, such that they are aligned to the same objective
- Performance Potential Dialogue- This is also the stage when training needs or any other work related support required by the employee is enumerated
- Once the individual goals are created, there is a final alignment check undertaken by HR
- These goals are then used to track performance for the rest of the year

Mid- Year Performance Review

By the end of 6 months (October), there will be a Performance assessment against the Annual Goals established.

This appraisal will, in addition to ratings, also have clearly outlined work deliverables with objective achievement in terms of numbers, percentages, time lines, quality checks etc against the set goals.

The Individual Goals will be rated against a 5 pointer scale. The same has been clearly defined (refer Annexures). The rating will strictly follow the 5 pointer whole figures; no decimal figures will be given to an employee.

The Mid- Year Review process will be as follows-

- This process will start with trainings being given out by HR for Assessors and Assesseses
- Thereafter, the process will be initiated with the employees' self- appraisal

- This self- appraised sheet is then submitted to the reporting officer, who would further provide ratings, along with objective feedback
- *Performance Dialogue*- The reporting officer would then have a dialogue with the employee, discussing each objective. There will be healthy and as far as possible an objective discussion, citing examples & data to support the ratings mentioned by each of them. The final ratings are arrived at post this discussion.
- This is the stage to identify any course corrections in terms of goal alignment, work output, or any support required by the employee
- These ratings are filed, to be employed in the Annual Performance Ratings
- This is also a good occasion to undertake Performance Potential Dialogues- to coach employees, develop them in line with their aspirations and organizational requirements

Annual Performance Review

This would be undertaken at the end of the Annual cycle or the completion of 1 year from the previous Appraisal.

The Annual Performance Review will be as follows-

- This process will start with trainings being given out by HR for Assessors and Assesseses (refer Annexure)
- This would be initiated with the employees' self- appraisal.
- This self- appraised sheet is submitted to the reporting officer, who would further provide ratings, along with objective feedback
- *Performance Dialogue*- The reporting officer would then have a dialogue with the employee, discussing each objective. There will be healthy and as far as possible an objective discussion, citing examples & data to support the ratings mentioned by each of them. The final ratings are arrived at post this discussion.
- These ratings, along with the Mid- Year Review Ratings are employed to arrive at Annual Performance Ratings. This will ensure that there a fair reflection of the quality of work delivered by the employee though the year.

OUTPUT

The Annual Performance ratings will be employed to determine the following:

Annual Increments

The 5 pointer rating will be mapped against an increment percentage (this is arrived at annually based upon the organizational performance, market scenario etc). Employing this template, the increment percentage is given to each employee.

Performance Pay

The employee will also receive an input on the percentage payout of the Performance Pay from the Annual Performance Review.

Promotion

Promotion will be a factor of the employee performance rating, their efficiency in the current role and their readiness to adapt to the next in- line role.

PROMOTION POLICY

TEACHING STAFF

The following have been identified as critical criteria for a faculty to be considered for promotion to the next level.

Assistant Professor to Associate Professor

- Possess a Ph.D.
- 5 years of teaching experience
- 4 ABDC C category/SCOPUS/ Web of Science publications or 2 ABDC B category publications.
- A and A* publications will get higher weightage

Associate Professor to Professor

- Possess a Ph.D.
- 10 years teaching/Research/industrial experience of which at least 5 years should be at the level of Associate professor
- 3 ABDC C category/SCOPUS/ Web of Science publications or 2 ABDC B category publications.
- A and A* publications will get higher weightage

Professor/Associate Professor of Practice

- Possess a Ph.D.
- 15 years or more industry experience out of which 10 years should be in senior position in reputed organization

NON- TEACHING STAFF

Non-teaching staff will be eligible for promotion on fulfilment of the following conditions:

- Completed 3 continuous and completed years of services in the current position
- Should have requisite education qualification required for the position being considered
- In all cases of promotion, to be eligible, the staff must have an average score of 4 out of 5 for the period of services at GLIM, Gurgaon.

SPECIAL CASES

New Joinees

In case an employee joining in midst of the appraisal cycle, and completes more than 6 months of service before the completion of the financial year (Apr- Mar), then the employee is eligible for Appraisal in April next year.

This appraisal would be done on a pro- rate basis, basis the number of months completed and against the goals set at the time of joining.

For Transfers

In case an employee is moved from function A to function B, then the employee would be appraised by the reporting officer of both the functions- Function A for the period worked there and then function B for the rest of the financial cycle.

Resignees

In case an employee has resigned after completion of Annual Appraisal Cycle (March end), he/she will be eligible for variable pay.

The performance pay payout will be done with the F & F settlement for the exited employee. This will also be subject to a transparent and collaborative handover being given, along with ensuring compliance (no malpractices) with all our policies. This discretion will be in the hands of the management.

Retirees

Retirees will receive performance pay the same as a regular employee.

PERFORMANCE ENHANCEMENT PLAN

Employees who receive a rating of 1 & 2, in their Mid- year review or Annual Review, are placed on a Performance Enhancement Plan. The idea is to provide them with adequate support and guidance, a fair chance, to pull up their performance.

Their Goals are redefined for the next 6 months, keeping the above agenda in mind. The same is discussed with the employee, in the presence of HR.

Post 3 months, a mid- term review is undertaken to map their progress, provide any further support and to seek signs of improvement in their performance.

At the end of 6 months, the employee is appraised against the new goals established. In case the employee, shows no improvement in their performance, the employee is asked to leave post the completion of their notice period or payment is made for the said period.

For an employee with a rating of 1, there will be no increment and performance pay given.

GRIEVANCE PROCESS

This process has been placed in case an employee is unsatisfied with their Performance Rating, and is looking for resolution of the same.

- An employee can formally raise a grievance with HR post the appraisal process, via email and in-person.
- The grievance will then be shared with the respective Function Head, who would then set up an independent panel to resolve the same.
- The panel shall converse with the appraiser and the appraisee and make note of their respective points of conflict.
- Thereafter, the panel can suggest a change in Performance Rating, along with a supporting justification.
- HR will then seek approval from the Management on the revised ratings

TRAVEL POLICY

OBJECTIVE & PHILOSOPHY

The aim of this policy is to provide clear guidelines to ensure a safe and comfortable travel for employees, when on official business. This policy contains clearly defined entitlements for Domestic, International, Local travel & Relocation; taking into account the travel, stay and other expenses.

Applicability

This policy is applicable to all employees of Great Lakes Institute of Management, Gurgaon.

GENERAL GUIDELINES

- Conduct official business ethically and with integrity, in compliance with the rules & regulations and Great Lakes Code of Conduct.
- Approval – For any Official Travel to be undertaken, one must first obtain a written approval from either their respective Functional Head or the Director of the institute.
- Plan in advance – As far as possible, an employee must finalise their travel plans two weeks in advance, this would ensure that the travel arrangements can be made in a cost- efficient manner.
- Cancellation- In case of any cancellation of travel plans, the ticket and stay cancellations should be done as early as possible.

For the purpose of the travel policy of employees, four categories from A1 to A4 will apply as follows:

- A1- Chairman/Vice Chairman/Director
- A2- Faculty/Department Directors/Associate Directors
- A3- All other academic staff and managerial staff
- A4- Non-managerial staff

DOMESTIC TRAVEL EXPENSES

Lodging

Lodging expenses can be reimbursed, upto the expenses incurred for official purposes. Any personal expenses or expenses incurred beyond the permissible policy guidelines, are to be settled by the employee directly.

The entitlements for travel as per the Great Lakes policy is as follows-

Category	Hotel	Meals	Travel mode	Local Conveyance
A1	<i>Not exceeding Rs. 10,000 per night</i>	<i>Reimbursed on actuals</i>	Less than 6 hours travel time: <i>Air travel Economy Class</i> More than 6 hours travel time: <i>Air travel Business Class</i>	Taxi
A2	<i>Not exceeding Rs. 7,500 per night</i>	<i>Reimbursed on actuals</i>	<i>Air travel Economy class or II AC Train</i>	Taxi
A3	<i>Not exceeding Rs. 6,000 per night</i>	<i>Reimbursed on actuals</i>	<i>Air travel Economy class or III AC Train</i>	Taxi
A4	<i>Not exceeding Rs. 4,000 per night</i>	<i>Reimbursed on actuals</i>	<i>Air travel Economy class or III AC Train</i>	Taxi

- Meals – Great Lakes will reimburse all reasonable and necessary expenses undertaken for Official business.
- Outstation local travel – Reimbursements can be made as per the actual expenses incurred, as long as they are reasonable expenses.

Cash Advance

- Non-managerial staff may take an advance, which should be calculated keeping in view the destination and amount of expenditure one is likely to incur.
- Travel advance should be adjusted within 7 days after completion of travel by submitting all travel related bills. If this is not done, the institute will have a right to recover the advance from the salary of the employee.
- Academic staff and managerial staff are expected not to take any advance but claim reimbursements later once expenses are incurred.

Domestic Travel Expenses Reimbursement

- The reimbursement would be against a prior approval by the employee's reporting officer.
- Employees are required to submit the original bills, along with the reimbursement form, duly filled, to the Finance team.
- Employees are required to submit their bills within 1 week of return from their travel.

INTERNATIONAL TRAVEL EXPENSES

Flight Travel Expenses

- Employees are eligible for economy travel.
- Flights are booked by the institute's travel desk or reimbursed as per actuals.
- In case of hop- over flights/ stopovers, the expenses resulting from flight delays etc will be reimbursed on actuals.

Lodging

- For calculation of entitlement amounts, the number of nights spent in foreign country will be the ones considered (nights while in flight, will not be considered).
- In case employees chose to stay with family or friends, their genuine expenses incurred, supported by original bills. The same would also need to be approved by the Director of the institute, on a case to case basis.

Travel Safety

- Prior to travel, an employee must obtain information on the safety of the travel destination and the other medical and vaccination requirements. The cost of immunisation, required for Official Business travel, will be borne by Great Lakes, as per the actual expenses.
- If travel is booked directly, then the employee's itinerary, along with full travel details must be provided to the Functional Head, so that the institute of notified of the employee's location during their travel.

Visa Expenses

Visa processing expenses can be paid as per actuals

International Travel Insurance

Travel insurance expense incurred for international travel will be borne by Great Lakes, as per actuals.

Cash Advances

- Cash advance, as per daily allowance will be provided, which should be calculated keeping in view the destination.

- Travel advance should be adjusted within 10 days after completion of travel by submitting all travel related bills. If this is not done, the institute will have a right to recover the advance from the salary of the employee.

LOCAL CONVEYANCE

For the use of personal vehicle for official work (other than to & fro for attending office) following reimbursements would be paid:

Two Wheelers: Rs. 5.00 /KM

All 4 Wheelers: Rs. 12.00 /KM

Employees can use a point to point radio cab for local work related travel.

A cab can be rented for half a day or a full day if it comes out cheaper than a point to point cab or if a number of stops need to be made that necessitates having access to the same cab throughout the trip.

THIRD PARTY ENTERTAINMENT EXPENSES

Third Party Entertainment should be kept to a minimum and should be informed to the reporting officer. The expenses should be reasonable, and will be approved against actuals, along with the Functional Head's approval, including a statement of business purpose.

ALLOTMENT & USAGE OF RESIDENTIAL FACILITIES/ QUARTERS FOR FACULTY & STAFF

OBJECTIVE

This provides the guidelines for allotment, usage and other rules governing the Faculty and staff accommodation/quarters inside the Campus.

This covers the whole of the faculty and staff who intend to avail the facility of residential facility inside the campus.

ADMINISTRATIVE RESPONSIBILITY

Administration department is responsible for administering this process. Exceptions in any specific case will have to be approved by the Executive committee with a positive vote from the Chairman of the Committee.

ELIGIBILITY

The residential quarters at present are divided into three types based on the area and building type viz-

- Type A (3BHK)
- Type B (2 BHK)
- Type C (Bachelor accommodation in One room/sharing facility)

Personnel with annual remuneration (CTC basis) of

- Rs 20 lakhs and above are eligible for Type A Quarters
- Between Rs 7.5 Lakhs and Rs 20 lakhs are eligible for Type B Quarters
- Below Rs 7.5 Lakhs are eligible for Type C accommodation.

ALLOTMENT

- Allotment will be done purely on availability basis and on an application made by the interested faculty/ staff and generally on a first come first served basis and No of Years of service in Great Lakes.

- In case of multiple applications allotment will be done on the following parameters in that order of priority.
- Though the allotment will be on the basis of the number of years of services rendered in GL, the institute reserves the right to allot the quarters on out of turn priority taking into consideration the need for doing so. When the type of quarters entitled is not available, a lower type of quarters may be offered by the Management.

FURNISHINGS PROVIDED ALONG WITH THE ACCOMMODATION

- Following facilities are provided along with the accommodation which is either “Non Transferable” or “Transferable” as mentioned herein below in the table.
- Non Transferable assets are provided at the cost of the Institute and forms part of the building and are the property of the Institute permanently. Transferable assets denote the assets that may be procured by the occupant at his/her option based on their eligibility and other conditions mentioned in para below.

	Type C	Type B & A
Non-Transferable	1. Air Conditioner- 1 no 2. Fans- All Rooms 3. Light Fittings 4. Common Kitchen Cabinet 6. Wardrobe - room 7. Curtain Rods 8. Shared toilet	1. Air Conditioner- 1 no (Master Room) 2. Fans- All Rooms 3. Light Fittings- all rooms 5. Kitchen Cabinet 6. Wardrobes 7. Curtain Rods 8. Dedicated toilet

RECOVERY OF RENT FROM THE OCCUPANT

- The occupants will not be entitled for HRA from the date of occupation of the Quarters. The HRA forming part of their remuneration will be converted as “Campus Allowance”.
- The Institute will recover the following amounts towards the cost of accommodation & furnishings. For Income Tax purposes the perquisite value of free accommodation and furnishings provided to the occupants as per the valuation rules prescribed under the Income Tax Act 1961 for the time being in force will be computed and appropriate tax deducted.

Category	Type C	Type B	Type A
Recovery Per Month Per Flat.	Rs.2000*, (max 2 people in a room)	Rs 3000/-	Rs 5000/-

*Waiver is permitted if approved by Director.
Rules governing other facilities & recoveries thereof

OTHER CHARGES

- a. All quarters are provided with individual electricity meters and allottees have to pay the charges at tariff at present Rs.10 per Unit on actual usage. In absence of individual meters, the recovery will be as below

Category	Type C	Type B	Type A
Recovery Per Month Per Flat	Rs 1000/- (distributed between no. of people residing, max 2 people in a room)	Rs 1250/-	Rs 1500/-

- b. The Institute will not provide any packaged drinking water.
- c. For common Area maintenance (inclusive of electricity in common areas) following flat fee will be recovered Type C Type B Type A: Rs.200 PM Rs.500 PM Rs.750 PM
- d. Telephone expenses –At present no telephone connection is there.
- e. Conveyance – The institute will not provide any conveyance to go to city or any place otherwise than on official duty. However, the occupant may choose to travel by the regular staff vehicle, subject to availability of seats, for which no charges will be recovered.
- f. Vehicle/Ambulance would be provided to go to the specific hospital with whom the Institute is having arrangement, in case of any emergency.
- g. Internet expenses would be borne by the Institute.
- h. All local taxes like property tax, land tax, municipal tax etc. would be paid by the institute.

Food and Beverages

- a. The Institute does not undertake to serve food and beverages in the residence. The faculty & staff on rolls are entitled to take food in the canteen, as applicable to all employees of the Institution during working hours on Normal working days.
- b. In case of exigencies, if the food is requested to be served in the residence, the occupant will be charged at the rate of twice the cost the Institute actually incurs.

OTHER RULES AND REGULATIONS

- a. All the NON TRANSFERABLE fixed assets provided by the Institute would be maintained by the institute.
- b. All TRANSFERABLE furnishings have to be maintained by the occupants.

- c. Occupants shall not remove any of the fixtures and fittings from their original position and shall not use them for any purpose other than they are intended.
- d. Occupants shall keep all the assets in good condition. All electrical and plumbing consumables have to be replaced by the allottees as and when required.
- e. If there be any breakage or damages to the property the replacement cost of the same would be recoverable from the occupant

EMPLOYEE EXIT POLICY

OBJECTIVE & PHILOSOPHY

We, at Great Lakes, understand that at times employees might chose to take up other work opportunities that suit their career goals or personal needs better, and as a result decide to move out of Great Lakes. This policy has been devised to create a comfortable and clearly defined transition for an exiting employee.

However, there are times, when there is obvious violation of employee policies, and in such cases disciplinary actions is required. This policy enumerates all such possibilities.

Applicability

This policy is applicable to all employees of Great Lakes Institute of Management, Gurgaon.

LEAVING GREAT LAKES

Resignations

When an employee decides to leave for any reason, his/her Reporting Officer and the Human Resources Department would first have a conversation to understand the reason for leaving. Great Lakes, often finds through such conversations an alternative may be worked out.

If, however, after full consideration the employee decides to leave, then a confirmed employee may resign from the services of the institute by giving notice for the period specified in the appointment letter or by payment of salary for the notice period.

Earned leave available with the employee may be adjusted in the notice period. The notice period may be reduced at the discretion of the management after discussion with the employee. During the Notice period, an employee can avail only EL & ML, CL will not be available to the employee. While serving the notice period, post resignation, an employee can avail Earned Leave up to 1.5 days per month. Employees serving the notice period will not be eligible for WFH.

During probation period and / or extended period of probation, every employee is liable to be terminated at any time without any notice or assigning any reason(s) thereof.

Dismissals

Termination of employment of an employee might be undertaken as measure against violation of employee policies, laws or non- performance at work. The steps taken would be in accordance to the policy on *Disciplinary action, Grievance Redressal Process or Performance Appraisal Process*.

Retirement

Faculty and staff will retire from services of the institute on attaining the age of superannuation fixed at 65 years and 60 years, for teaching & non-teaching employees respectively.

In case of retirement/ completion of contract, EL can be encashed at Gross salary.

EMPLOYEE EXIT PROCESS

Human Resources is responsible for scheduling an exit interview, with a terminating employee on the employee's last day of employment and for arranging the return of Institute property including:

- Laptop
- Picture Identification Card
- Office keys
- Institute-issued credit cards
- Institute manuals
- Insurance ID cards
- All passwords for Files and Computers
- Any additional Institute-owned or issued property

Employees leaving the Institute must return office keys, corporate credit cards, etc., before their Full & Final (F & F) payment is processed. The F & F will be processed during the next monthly pay period. If there are unpaid obligations to the Institute, the F & F amount will reflect the appropriate deductions.

ANNEXURES

REIMBURSEMENT DECLARATION FORM**Employee Name:****Employee Code:****Date:**

Type of Reimbursement	Monthly Claim Amount Intended
Phone & Internet	
Formal Attire Allowance	
Professional Development	
LTA	

EMPLOYEE HEALTH INSURANCE

NAME ADDITION IN GROUP MEDICLAIM						
S.No.	Emp. Code	Name	Date of Joining (DD/MM/YYYY)	Gender	Location	DOB(DD/MM/YYYY)
Grade	Sum Insured	Marital Status	Date of Marriage (DD/MM/YYYY)	Spouse Name	Gender	DOB
Name of Kid 1	Gender	DOB	Name of Kid 2	Gender	DOB	

HOLIDAY CALENDAR 2024

CONFIRMED HOLIDAYS

Occasion	Date	Day
New Year	01-Jan-24	Monday
Republic Day	26-Jan-24	Friday
Holi	25-Mar-24	Monday
Ramzan/ Id-ul- Fitr	11-Apr-24	Thursday
Independence Day	15-Aug-24	Thursday
Janmashtami	26-Aug-24	Monday
Gandhi Jayanti	02-Oct-24	Wednesday
Diwali	31-Oct-24	Thursday
Haryana Day	01-Nov-24	Friday
Christmas	25-Dec-24	Wednesday

RESTRICTED HOLIDAYS (OPTIONAL)*

Occasion	Date	Day
Good Friday	29-Mar-24	Friday
Ram Navami	17-Apr-24	Wednesday
Buddha Purnima	23-May-24	Thursday
Id- Ul- Zuha	17-Jun-24	Monday
Raksha Bandhan	19-Aug-24	Monday
Mahashtami	11-Oct-24	Friday
Guru Nanak Birthday	15-Nov-24	Friday

*Employees can avail 2 Restricted Holidays in a Year.

GOAL SETTING FORM

S No	Annual Goals	Weightage (%)/ Points	Results Achieved	Self- Rating
1				
2				
3				
4				
5				
	Total			

PERFORMANCE RATING SCALE

PERFORMANCE RATING	RATING DEFINITION
CHAMPION (5)	<ul style="list-style-type: none"> Consistently Exceeds Goal requirements Exceptional performer, sets new performance standards Takes initiative and reaches out to aid team members Contributes towards institution building opportunities, with a strategic understanding of the organizational requirements
LONG STRIDER (4)	<ul style="list-style-type: none"> Fulfills the goals and exceeds goal requirements often Aids the team in working towards the goals At times contributes towards institution building initiatives Has a partial understanding of organizational requirements
EMERGING (3)	<ul style="list-style-type: none"> Meet the goal requirements, at times might exceed expectations Occasionally takes initiative to help team members Mentoring, coaching can help address developmental requirements
AMATEUR (2)	<ul style="list-style-type: none"> Meets most goal requirements, at times falls short of role requirements Needs periodic hand holding to deliver results
PULL UP(1)	<ul style="list-style-type: none"> Delivers unsatisfactory performance Does not meet goal requirements most of the times Needs help with delivering the basic role requirements