
***Human Resource
Policy Manual –
Assam State
Public Finance
Institutional
Reforms
(ASPIRe)***

19 August, 2017

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1 Introduction

1.1 Overview

The Government of Assam (GoA) has undertaken the ASPIRe Program to improve efficiency, ease of doing business and transparency in its Public Financial Management. The Program is being funded by World Bank. The objectives of the Program are as under:

Component 1: Institutional Strengthening, Reforms & Capacity Building Includes:

- Review of finance department, its organization, role of Financial Advisors (FA's) in line departments and cadre review of various finance cadres, treasury & finance rules; twinning & partnerships with national PFM institutes
- Strengthening Budget Management Processes i.e. strengthening preparation process, resource estimation, budget allocation, re-appropriation and execution and budget transparency
- Strengthening Cash & Debt Management Capacity and systems
- Procurement policy and e-procurement scale up including data analytics
- Review of Public Private Partnership (PPP) Framework and institutional strengthening
- LFAD – framework for outsourcing model and pilots

Component 2: Expenditure Management: Treasury Modernization and Treasury:

- New IT systems for Treasury (FMIS) and Excise (software application development, implementation, maintenance and hardware procurement, including networking, change management and capacity building)
- PFMS scale up in selected departments (Education, RDD and Health)

Component 3: Revenue Systems Strengthening: Excise and Commercial taxes:

- E-Governance solution for Excise Department (software application development, implementation and maintenance and hardware procurement, including networking, change management and capacity building)
- Upgradation of existing application software in CTD including hardware upgrade; institutional strengthening of CTD and readiness for GST

Component 4:

- Project Management

1.2 Purpose of this Manual

The purpose of this manual is to provide specific guidelines for the management in Human Resource (HR) procedures within ASPIRe. It is not intended to prescribe step by step guidance for every eventuality, but defines the policies that the procedures should support. Compliance with these policies and procedures are considered to be a condition of employment at ASPIRe.

The objectives of this HR Manual are to:

- a) Provide detailed information about ASPIRe human resources policies and procedures as well as conditions of employment for its staff
- b) Set out and communicate the policies and procedures formulated to assist management in making people management decisions and form the basis upon which ASPIRe work culture and environment is developed
- c) Outline the basic rules, regulations and procedures that bind the employee as part of his/her contract of employment
- d) Act as a guide for new employees
- e) Serve as an operating guide for the HR staff to manage employee's affair fairly and consistently
- f) Act as a reference document for the management and staff in handling human resource & administration issues
- g) Acts as a guideline for the efficient and effective operation activities

1.3 Scope of this Manual

The manual prescribes policies and procedures to be followed by the ASPIRe human resource and operational management as approved by the Governing Body. The Manual has been designed to provide clear and precise guidelines in respect of HR activities.

1.4 Authority and Update of this Manual

Project Director shall be responsible for ensuring timely and accurate modifications/updates to the Manual. No modification shall have effect unless approved and notified by the Governing Body.

All employees shall be considered to have read this manual and any amendments that shall be made as and when necessary. Concerned Heads shall ensure that all staff below them are made aware of all sections of this Manual which cover their terms and conditions of service. Ignorance of any of these regulations shall not be accepted as an excuse for failure to act upon any matter or comply with the regulations as laid down in the Manual.

The users of the HR manual may suggest changes and amendments to the existing HR policies and procedures with the approval of concerned Heads.

Every modification, once approved, shall be circulated by the office of Project Director to relevant management personnel for acknowledgment. Office of the Project Director shall maintain a log of all updates.

Although every attempt has been made to anticipate all situations requiring formalized policies, however, circumstances may arise which are not covered in the manual or a situation may warrant deviations from the stated policy. These cases shall be resolved by a decision taken by the Governing Body, in order to prevent the appearance of prejudice or bias which may occur if the decision is taken by any one individual.

1.5 Manual Holders

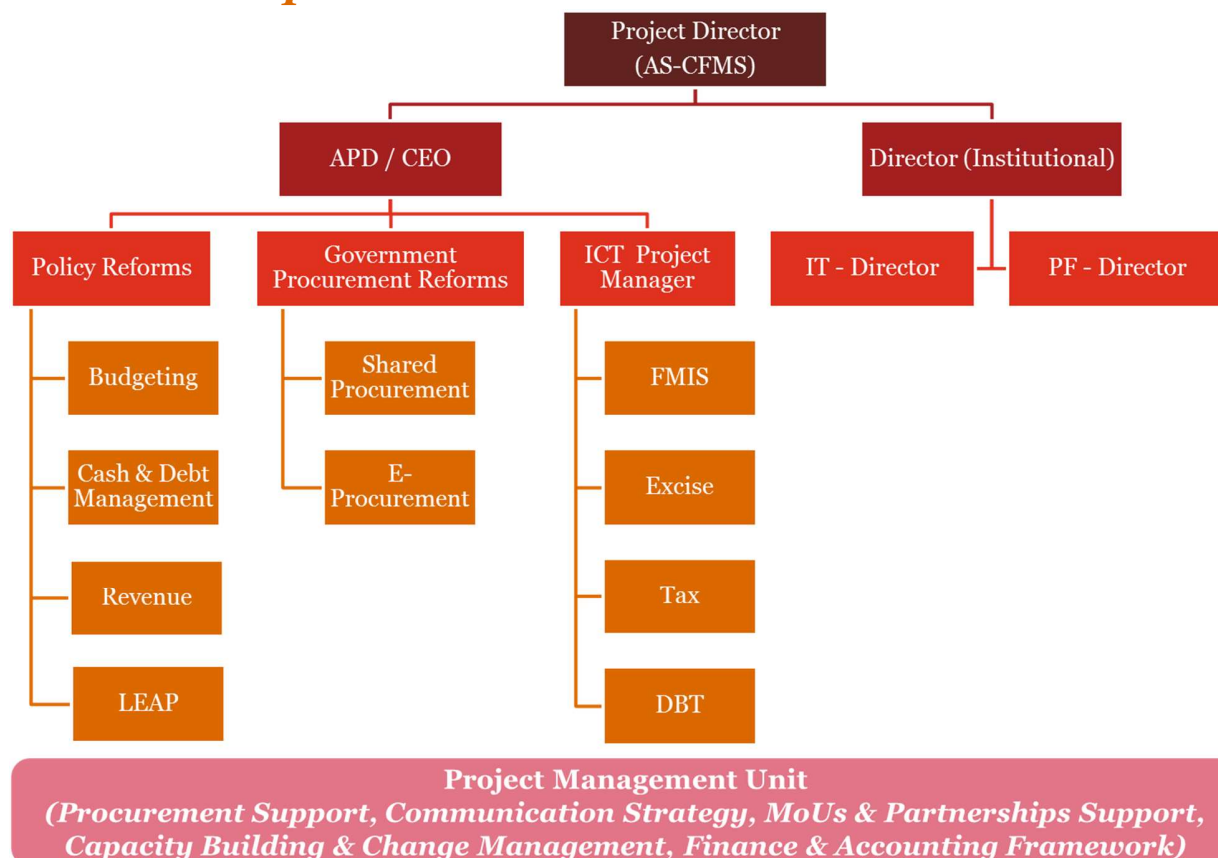
Copies of the Manual shall be provided to the following officials of ASPIRe / Govt. of Assam:

- a) Finance Department, Govt. of Assam
- b) Personnel Department, Govt. of Assam
- c) Transformation & Development Department, Govt. of Assam
- d) Project Director, ASPIRe;

- e) Heads of all functions in ASPIRe;
- f) Concerned officer in ASPIRe dealing with Human Resource matters (custodian of the manual).

The contents of the Manual shall be used for official purposes only. Contents of the Manual should not be copied or otherwise removed from the premises of ASPIRe without the written permission of the concerned officer dealing with Human Resource function.

1.6 ASPIRe operational structure



1.7 Job Designations

To reduce the ambiguity of roles and clarify the nature of a job, job designations have been harmonized, as much as possible to provide an appropriate level of hierarchy to be used by ASPIRe. The designations which have been used for ASPIRe are as follows and have been arranged based on the hierarchy level:

- a) Chairman of the Governing Body
- b) Vice Chairman – Head of the Executive Committee
- c) Project Director
- d) Additional Project Directors
- e) Managers and Domain Experts
- f) Officers and External Consultants
- g) Support staff

2 Roles & Responsibilities

2.1 Roles and Responsibilities of HR Function

The HR function includes a variety of activities, and key among them is deciding what staffing needs ASPIRe has and whether to hire staff on contract basis or tap internal sources to address the needs, recruiting and training the employees, ensuring they are high performers, dealing with performance issues, and ensuring that the organization's personnel and management practices conform to various regulations that are in force. Activities also include managing approach to employee benefits and compensation, employee records and personnel policies.

The HR function shall be mainly responsible for the following:

- Advise and Assist management to formulate and ensure the implementation of effective human resource strategies, policies, procedures, controls and practices
- Advise and assist management to maximize the performance of employees by providing human resource strategic and operational support
- Ensure that ASPIRe attracts, retains and motivates the required talent to help achieve the its mission and objectives
- Regularly monitor the effectiveness of human resource policies to ensure compliance and relevance to the strategic organization needs of ASPIRe
- Monitor compliance of the HR policies in place with the applicable Government Rules and Regulations
- Be available for consultation, advice and support to all Functions, Divisions and staff within ASPIRe

2.2 Roles and Responsibilities of HR Management Personnel

2.2.1 Head – HR Function, ASPIRe

Role and responsibilities of the Head - Human Resource Function include:

- Overall responsibility for managing the human resource and administration function of ASPIRe
- Responsible for the Recruitment process of ASPIRe including identification of vacant positions advertisement, short-listing of candidates, arranging the interviews, issuing offer letters to successful candidates
- Maintaining database of employees of ASPIRe
- Preparation of job descriptions for positions in the organization and circulating them to relevant personnel
- Consult with and advise employees and other directorate representatives on personnel-related policies and procedures
- Providing training to and evaluation of subordinates and conducting employee appraisals
- Act as a representative of HR function of ASPIRe at various meetings and act as advisor to the board on matters that involve human resource considerations
- Present periodic reports to Chairman / Vice Chairman / Project Director on human resources and administration related issues
- Supervision of payroll preparation and maintenance of employees' records

- Arranging orientation sessions for joiners
- Coaching and counselling of the employees
- Ensure completeness and security of employee's data/record
- Maintaining appropriate controls on utilization of approved budgets for human resource functionand
- Take disciplinary actions and handling of employees grievances to maintain a healthy environment

2.2.2 HR Officer, ASPIRe

The role and responsibilities of Officer - Human Resource include:

- Responsible for the preparation of payroll in coordination with Accounts function
- Compilation of data relating to hiring of staff
- Maintenance of personal files of employees
- Receiving and processing employee request (i.e. leave, advance, TA/DA etc.)
- Assistance in maintenance of employee records
- Ensuring that staff members follow the disciplinary rules and regulations and shall report any failure
- Coordinating the recruitment and selection of employees
- Management of orientation trainings
- Maintenance record of the training acquired by the staff
- Responsible for planning and conducting employee orientation sessions
- Maintaining records of personnel, such as hires, rotations, and terminations separately for all the staff
- Preparation of appointment letter, contracts, warning letters and termination letters
- Carrying out performance appraisal of employees
- Preparation of forms to be filled by the newly inducted staff to be used for regulatory requirements, etc.
- Ensuring that Job descriptions of every designation of ASPIRe are maintained and every staff member is provided a copy of his/her Job description
- Ensuring compliance of induction procedure and termination policies
- Responsible for coordinating with other functions in ASPIRe and
- Any other duties assigned by the Project Director

2.2.3 ASPIRe HR Committee

The human resource committee of ASPIRe shall consist of the following personnel:

- Vice Chairman
- Project Director
- Heads of all functions in ASPIRe and
- Representative from Finance, Personnel, T& D Departments

The human resource committee shall be responsible to carry out the roles and responsibilities defined below:

- Carry out recruitment / appointments
- Determine terms and conditions of service of ASPIRe employees
- Fix salaries and other emoluments

- Oversee implementation of Governing Body decisions (related to human resource and administration functions)
- Set/approve key performance indicators of ASPIRe staff
- Carry out/ approve appraisals of ASPIRe staff and
- Perform any other function assigned by the Governing Body from time to time

2.3 Job Description Formation Process

At the time of formation of a new sanctioned post, Head - HR shall discuss the roles and responsibilities of the relevant post with the head of relevant function along with the reporting lines. HR Officer shall prepare the roles and responsibilities of the post in details and submit it to Head - HR for review. Amendments as required shall be made in the job description by the Head - HR. The draft copy shall be submitted by the HR Officer to the head of relevant function.

Head of relevant function shall give his/her comments on the draft job description, and send the draft back to HR Officer. Changes shall be incorporated by the Head - HR and sent to the Project Director, for approval.

3 Code of Conduct

Code of conduct can be defined as the principles, values, standards, or rules of behaviour that guide the decisions, procedures and systems of an organization in a way that contributes to the welfare of its key stakeholders, and respects the rights of all constituents affected by its operations.

All employees of ASPIRe must follow the Code of Conduct defined in this manual. Appropriate disciplinary actions shall be taken in case of non-compliance of the Code. The HR Officer will ensure that every employee is given a copy of the Code at the time of joining.

3.1 Conflict of Interest

A conflict of interest is a set of circumstances that creates a risk that professional judgment or actions regarding a primary interest will be unduly influenced by a secondary interest.

Each employee shall be free of any personal interest that could influence his or her judgment or action in the conduct of services or affect his or her responsibility in managing the affairs of ASPIRe. An employee must not only avoid situations that give rise or could give rise to a conflict of interest, but also situations that create the appearance of a Conflict of Interest.

Following polices shall be applicable to all employees of ASPIRe regarding conflict of interest.

- Employee must be alert to any situation that could compromise the position of trust the employee holds at ASPIRe, and avoid any kind of conflict between their personal interests and those of ASPIRe.
- Employee may not engage in outside activities that can cause conflict with the interests of ASPIRe, interfere with the responsibilities of employees, or damage or misuse the reputation, relationships, confidential information or other property of ASPIRe.
- From time to time, situations shall arise that are not clear-cut. If employees are uncertain about the propriety of conduct/ business relationships, the employee must consult his/her supervisor or the legal advisor.
- Employees must ensure that their personal interests do not conflict with the duties which are owed to the ASPIRe or which ASPIRe owes to its stake holders. This includes engaging in any of the following activities without the prior written approval of the management.
 - Becoming personally involved in any transaction of the ASPIRe.
 - Negotiating or contracting on behalf of ASPIRe with an entity in which the employee or a relative has an interest.

3.2 Non-Discrimination policy

Notwithstanding the applicable laws of Govt. of India / Assam, the ASPIRe aims to provide equal employment opportunities to qualified individuals regardless of race, colour, ethnicity, caste, gender, nationality, origin, ancestry, religion, age, disability or marital status.

Any discrimination against any employee at any level shall be reported to the HR Officer, and the HR function shall ensure that complete complaint redressal procedure shall be followed leading to disciplinary action.

3.3 Confidentiality

All employees must protect confidential information, and prevent such information from being improperly disclosed to others inside or outside ASPIRe.

All employees will learn, to a greater or lesser degree, facts about the ASPIRe activities, plans, operations, etc. that are not known to the general public or other agencies. Any employee may not disclose any confidential information of ASPIRe obtained from his/her role at ASPIRe to others or use any such information for his own or someone else's benefit. ASPIRe employees should not communicate or transmit confidential or sensitive information through external online communications services, such as the Internet. Appropriate disciplinary actions will be taken in case of negligence in complying with the above policy.

During the employment tenure or even after employment terminates, the employee must never disclose or request disclosure of proprietary or confidential information about ASPIRe or its beneficiaries to anyone.

3.4 Gifts and Entertainment

It is the policy of ASPIRe that gifts are not to be accepted from any person or organizations, related to ASPIRe, vendors, etc. Employees of ASPIRe shall ensure that they shall not accept any gifts offered to them and/or they shall not demand or request any gifts from any stake holder of ASPIRe.

Exception to this policy is in cases where refusal of a gift would be regarded as an affront or it would be impractical or impossible to return the gift then in certain cases it can be accepted provided the gift is:

- a) Not in the form of cash,
- b) Clearly not in return for any consideration or in the anticipation of the same.
- c) The value of gift is not material.

Any departure or proposed departure from the above must be reported through the HR Officer to the Project Director for a ruling on acceptance. Appropriate disciplinary actions shall be taken in case of negligence in complying with the above policy.

3.5 Sexual Harassment

Sexual harassment includes abuse of a sexual nature including , but not limited to , commentaries on the victim's body, suggestive objects and pictures in the work place, degrading words used to describe the victim, or proposition of a sexual nature. Sexual harassment also includes the threat or insinuation that lack of sexual submission will adversely affect the victim's employment, wages, advancement, assigned duties, academic standing or other conditions that affect the victim's "livelihood".

In case any employee feels that he/she is victim of sexual harassment, they should report the event to the HR Officer. Anonymity of complaints shall be ensured to ensure safety of complainant. The Project Director and Head - HR shall ensure appropriate disciplinary action is carried out against such complaints.

3.6 Fiscal Improprieties

ASPIRe expects its entire staff to maintain the highest standards of ethical conduct and to ensure their compliance with all applicable laws, regulations and accounting principles. Any accounting fraud or other fiscal impropriety is strictly prohibited. Some examples of fiscal improprieties include, but are not limited to:

- Unauthorized or unethical use of ASPIRe funds

- Fraudulent accounting or reporting of expenditures
- Illegal or unethical fiscal activity (e.g., theft, embezzlement, etc.)
- Taking benefit from the position of being serving in the Government Department
- Improperly gaining or potentially gaining financial benefit from beneficiaries and
- Aiding and abetting another’s fiscal impropriety

A wilful failure to report a fiscal impropriety may be construed as aiding and abetting the wrongdoer. In addition to disciplinary action and/or termination of employment, fiscal impropriety may result in personal liabilities to the wrongdoer and criminal prosecution in accordance with the applicable laws and regulations.

3.7 Nepotism

The employment of relatives in positions where they may be required to supervise and evaluate each other can cause significant conflicts of interest and poor morale. Accordingly, new employees shall be asked during the application process if they are related to any current ASPIRe employee. The HR functions shall deal with such relationships on a case-by-case basis to assure that there is fairness to employees and to applicants and that there is no Conflict of Interest or appearance of impropriety.

4 Recruitment

A well-defined recruitment process plays a vital role in sustenance and growth of any organization, recruitment process should be properly planned and carried out to ensure that equal opportunity is given to every candidate and the most appropriate candidate is selected for the job.

ASPIRe is an equal opportunity employer providing equal employment opportunities to all applicants on the basis of qualification, demonstrated ability, experience and learning. ASPIRe recruitment philosophy is to attract, train and retain people who can build a strong, mutually beneficial and lasting relationship with ASPIRe.

At ASPIRe, diversity is seen as a strategic and sustainable long-term objective. Compliance to equal opportunity, non-discrimination and non-harassment are integral requirements for HR function of ASPIRe. ASPIRe aims to attract qualified, experienced, skilled and knowledgeable individuals that are most suited for the job, motivated, career oriented and committed to excellence in pursuit to the mission and success of ASPIRe.

ASPIRe work on the principles of:

- Respect for every individual
- Draw strength from equal opportunity and diversity, at the same time supporting personal growth and development and
- Value and benefit from the uniqueness of each individual

4.1 Procedure for Manpower engagement

- a. During the enrolment process, the Project Director will ensure that the incumbent to be employed/engaged or hired by the ASPIRe has the skills and competencies to carry out the functions as outlined in the job descriptions or Terms of Reference. Apart from the required minimum educational qualifications, the broad skills and competency that will be assessed include:
 - Previous relevant experience
 - Thematic knowledge on area of claimed expertise
 - Writing and presentation skills
 - Training and capacity building skills
 - Policy and guideline formulation
 - Leadership and team management and
 - Interpersonal Skills and Team Work
- b. Serving Government officials/staff may be engaged by ASPIRe either on deputation basis or on service disposal basis or on part time basis, depending on the need of individual ASPIRe projects. However, before engaging any Government officials/staff, the Project Director, or his designated representative, or a committee will take interview of the individual proposed to be engaged on deputation basis or on service disposal basis or on part time basis and ascertain his/her suitability for the assignment/position.

- c. **Contractual Consultants and Short Term Consultants for providing technical services:** Such category of consultants may be hired as per the provisions given in the Guidelines of the relevant individual ASPIRe Project.
- d. Contractual Staff (Support Assistant/Clerical/Office Boys, Photocopiers, Security Staff, Cleaners, Drivers, Messenger, etc.) may be hired through the comparison of the relevant qualification, experience etc. of at least three incumbents having the potential to deliver the task efficiently. Contractual staff may also be hired through walk-in-interviews.
- e. **Insurance for consultants:** All the consultants/staff hired by ASPIRe shall be mandatorily required to obtain a General/Accident Insurance and a Medical Insurance (paid by the ASPIRe as a part of the Cost to Program) for the assignment. This aspect shall be included in the agreement with the consultants / staff.
- f. **Conveyance facility to the consultants / staff, for attending the review meetings:** No conveyance facility will be provided by the ASPIRe to the consultants for attending the review meetings. However, Project Director may decide to provide the conveyance facility on a case to case basis to Senior Officials/ Advisors.
- g. In case ASPIRe does not have specific guidelines/norms for engagement or hiring of contractual consultants and staff, the following norms will apply:
- Individual contractual consultants (ICC) may be selected through an advertised walk-in-interview process or by comparing resumes of at least three qualified candidates, who have been approached directly by the Project Director or those who have expressed interest in the assignment.
 - Advertised walk-in interview process: Walk-in interview process will be followed particularly, when ASPIRe does not have knowledge of experienced and qualified individuals or of their availability, or the services required are complex, or there are potential benefits from advertising. Advertisement for walk-in-interview should specify selection criteria, which inter alia will include experience and academic qualifications. The Terms of Reference (TOR) for the assignment will be provided to the potential candidates through electronic mode.
 - Comparing resumes of at least three qualified candidates: The basis of comparing the resumes of the qualified candidates will include their relevant academic qualifications, relevant specific experience, background, aptitude and capability to carry out the assignment. Selected ICCs shall be the most experienced and best qualified, and shall be fully capable to carry out the assignment, out of the resumes compared. The Project Director may finalize a contract with the selected ICC, regarding terms and conditions of the contract, including the monthly Cost to Program (CTP) and other admissible.
 - The SPD shall, however, obtain the concurrence of the Chairman, ASPIRe and also from the project funding agency, for any recruitment of this nature.
- h. Widely Experienced Very Senior Consultants/ Advisors may be hired on single-source basis instead of a competitive selection process in exceptional cases, such as when the individual is the only consultant qualified for the assignment, with the approval of the Chairman of the Governing Body of

ASPIRe and also with the concurrence by the funding agency, as required. In such case, rationale for single-source selection should be placed before the Chairman of ASPIRe and the funding agency.

- i. **Recruitment through a Headhunter/Executive Search Agency:** Depending on the need and assessment of the quality of expertise required for positions of Domain Experts/Specialists, ASPIRe may perhaps hire a Headhunter/Executive Search Agency through an adequate competitive process applicable for 'ASPIRe Projects' (e.g. the Least Cost Selection method of the World Bank) for executing a turn-key mandate for recruitment i.e. (i) publishing advertisement for the positions in national & regional dailies and in job portals (e.g. Devnetjobs.org, Indevjobs.org and Devex.com); (ii) to receive applications; carry out preliminary screening of resumes; (iii) to conduct first round of interviews; and (iv) provide the ASPIRe with a list of shortlisted candidates (atleast three) for each position for final round of assessment and interviews by the ASPIRe. The Terms of Reference for hiring the Headhunter/Executive Search Agency shall be agreed with the project financing agency and the approval of the Chairman, Governing Body shall be obtained.
- j. **Hiring a Manpower Agency:** For certain types of routine services (such as MIS, security, cleaning, gardening, office boys etc.), ASPIRe may employ a firm through a competitive process for providing individual consultants/staff for particular assignment/ services. The detailed Terms of Reference/job description will be agreed with the project financing agency and the approval of the Chairman, Governing Body will be obtained.
- k. For all the individuals considering eligible for joining the ASPIRe, following a due process of hiring as mentioned above, the Project Director may verify their credentials through appropriate mediums considered necessary, if so desired; And in case of any adverse report against the selected contractual consultants/staff, the Project Director may not allow the incumbent to join ASPIRe and his/her selection shall be cancelled.
- l. ASPIRe shall not hire induct any individual as employee who has engaged in any fraud or corruption or against whom departmental/ judicial/ criminal proceedings are ongoing.

5 Deputation Policy

5.1 Designations

Grade	Designation
Non Functional (NFG) / Director Grade	State Project Director, Assistant Project Director, Subject Matter Experts
Administrative Grade (AG)	Project Officers, Project Assistants, Assistant to State Project Director / Assistant Project Director

5.2 Qualification Requirement

5.2.1 Essential

Officers/Professional/Academicians from State governments, RBI, NABARD, public sector banks, Universities, Research Institutes, Autonomous organizations, regulatory authorities having a Bachelor's Degree from a University incorporated by an Act of the Central or State Legislature in India or other educational Institutes established by an Act of Parliament or declared to be deemed as University under Section 3 of the University Grants Commission Act, 1956 (3 of 1956) or a foreign University approved by the Government from time to time.

5.2.2 Desirable

- Good academic record
- Strong communication skills both oral and writing
- Having served in a Government organisation

5.3 Experience

5.3.1 For the NFG / Director level posts

- **Central Government** – Central Govt. Group A officers holding analogous posts and having the prescribed qualifications.
- **State Government** - State Government officers with 10 years of total experience having the prescribed qualifications.
- **RBI** - Grade F officers with 10 years of total experience and Grade E officers (with 8 years' experience in Grade E)
- **NABARD** - Grade F officers with 10 years of total experience and Grade E officers (with 8 years' experience in Grade E)
- **Universities and Research Institutes** – Readers and Assistant Professors in Selection Grade (PB 4 with Grade Pay Rs. 8000/-) with 14 years of total experience
- **Public Sector Units** – E5 Grade officers with 14 years of total experience (with 5 years' experience in E5 Grade)
- **Public Sector Banks** – Officers of the Senior Management Grade Scale IV and V with 14 years of total experience

5.3.2 For the AG level posts

- **State Government** - State Government officers with 5 years of total experience having the prescribed qualifications.
- **Universities and Research Institutes** - Assistant Professors in Senior Scale (PB 3 with Grade Pay Rs. 7000/-) with 5 years of total experience and
- Assistant Professors with 5 years of total experience, with 5 years of experience at Assistant Professor level (PB 3 with Grade Pay Rs. 6000/-)
- **Public Sector Units** - E4 Grade officers of Public Sector Units with 5 years of experience (with 5 years' experience in E4 Grade)

5.4 Age:

- I. For the **NFG / Director Grade** level posts - not exceeding 50 years
- II. For the **AG** level posts - not exceeding 40 years

5.5 Period of Deputation

Deputation period will be for 3 years initially and can be extended for 2 terms of 1 year each, on mutual consent. The total duration of deputation cannot exceed a time period of 5 years in totality. The tenure can be terminated on 2 months' notice on either side.

5.6 Location

Location shall be Guwahati.

6 Remuneration and Allowances

6.1 Cost to Program

- (a) **The Cost to Program (CTP) for the contractual consultants & staff and Remuneration/Allowances for the Government Officials & staff on Deputation/Service Disposal Basis will be as indicated in Annexure I.**
- i) The CTP as indicated in Annexure I is based on the salary paid to the professionals of high calibre in the respective sector across India, their profile, competency and skills and the crucial role the consultants/staff are expected to play for successful and efficient implementation of the ASPIRe Projects. Given that majority of the key positions are contractual ones, with no pension or other benefits or any other deferred payments, cost to the project (CTP) principle has been followed. However, depending on demand and job market realities the indicated fees and compensation structure may be revised by the ASPIRe Society.
 - ii) The overall CTP structure as indicated at Annexure I is in four parts **(1)** Base remuneration per month, **(2)** Performance-Linked-Incentive, **(3)** Communication Allowance and **(4)** Medical Allowance, and the sum total of all the four will be the consolidated CTP to be paid. The CTP structure as indicated in Annexure I will be determined for individual positions ahead of advertisement/recruitment process and will be negotiated with the selected candidates and finalized, before positioning them for the project. Depending on the qualifications, experience, competency, and also the remuneration/pay package of the last assignment of the candidate, the consolidated CTP for the different positions will be determined and mutually agreed with the contractual consultants/staff, which will be in the range as indicated in Annexure I for different level/grade of contractual consultants/staff.
 - iii) The agreed annual CTP with the individual contractual consultants/staff will be inclusive of all taxes [excluding service taxes (*unless specifically mentioned, which* will be paid by the ASPIRe separately)], health/service related insurance, all allowances (excluding allowances relating to travelling/boarding/lodging/food for officials tours outside the designated head quarter), cost of accommodation and food at Guwahati, conveyance to attend the review meetings, etc. All the taxes as applicable will be dealt with as per applicable laws of India.
 - iv) The monthly CTP (excluding the performance-linked-incentive) will be given in the first week of every month and the performance-linked-incentive be given on annual or semi-annual basis, based on the assessment of the achievements by the consultant/staff against the mutually agreed deliverables.
- (b) **Fixation of monthly fees of contractual consultants/ staff of the PCU/PMU not indicated at Annexure I will be determined on the following:**

- i) For widely experienced very senior consultants/advisors: The fixed monthly fees/remuneration or daily fees and other entitlements for the widely experienced very senior consultants/ advisors will be determined by the Project Director with the concurrence of the project-financing agency and Chairman of the Governing Body of ASPIRe Society, based on the qualification, experience, competence and suitability of the incumbent and also taking into account **(a)** prevalent market rates for similar assignments/positions, **(b)** the fees/remunerations paid by other similar agencies for such senior consultants/advisors and **(c)** the fees/ remunerations recommended by the project financing agency, if any.
- ii) Other contractual consultants and staff: The fixed monthly remuneration/ fees for other positions of contractual consultants and staff will be fixed at the rates equivalent to the monthly fees of similar-positions under the Government of Assam (GoA), as per the following Break-up:

<u>Fixation of fixed monthly initial fees, based on the fees for equivalent position under the GoA</u>	<u>Initial Fixed monthly fixed pay of contractual consultants/ staff</u>
A= Initial Basic Pay (Initial pay of the pay-band + related Grade pay, as per the prevailing rate of GoA)	$E = A + B + C + D$
B= Dearness Allowance Rate of GoA (as on the date of fixing initial pay)	
C= Medical Allowance Rate (as on the date of fixing initial pay)	
D= House Rent Allowance	
E= Total entry level fixed monthly pay	

- (c) **Remuneration of the Retired Government/Public Sector employees hired as contractual consultants/staff**: The fixed monthly remuneration/fees for retired Government/Public Sector employees to be hired as contractual consultants and staff, considering their knowledge, expertise and outstanding efficiency, will be fixed based on the principle of last monthly pay-drawn (Gross Pay) minus the pension that the individual is getting. In addition, such category of contractual consultants and staff will be entitled for a monthly 'Project Allowance' (payable cumulatively on quarterly basis) which will be equivalent to the last basic pay of the individual while he/she was in service, subject to a maximum of **Rs.25,000/- per month**, following the under mentioned criteria:-
- i) Such category of contractual consultants and staff shall be eligible for the 'Project allowance' only after serving ASPIRe for more than 3 (three) continuous months (i.e. one quarter);
- ii) 50% of the 'Project Allowance' shall be based on the assessment of discipline, punctuality, behavior, integrity, proactiveness, competency and efficiency of the individual contractual consultants and staff; and

- iii) The rest 50% of the 'Project Allowance' shall be linked to the achievement of the mutually agreed deliverables during the given quarter by the consultant/staff. Individual consultant/staff of this category, upon achievement of 90% to 100% of the given deliverables during the quarter, will be eligible to get 100% of the monthly 'Project Allowance' or else, the monthly 'Project Allowance' (payable quarterly) shall be reduced correspondingly for under performance, unless there is proper justification satisfactory to the Project Director.
- (d) **Project Allowance for Government/Public Sector employees on deputation, on full-time/part-time service disposal basis:**The Government/Public Sector employees of ASPIRe either on deputation or full-time/part-time service disposal basis will be paid a monthly 'Project Allowance'¹(payable cumulatively on quarterly basis) equivalent to the basic pay of the individual, subject to a maximum of **Rs.25,000/- per month**, in addition to the salaries from the Government/ASPIRe following the under mentioned criteria:-
- i) Such category of Government/Public Sector employees of ASPIRe either on deputation or full-time/part-time service disposal basis shall be eligible for the 'Project allowance' only after serving ASPIRe for more that 3 (three) continuous months (i.e. one quarter);
- ii) Such category of Government/Public Sector employees serving the ASPIRe on part time service disposal basis shall have to provide service atleast on an average for 4 hours a day or cumulative monthly 80 hours a month to be eligible for the 'Project Allowance'.
- iii) 50% of the 'Project Allowance' shall be based on the assessment of discipline, punctuality, behavior, integrity, proactiveness, competency and efficiency of the individual contractual consultants and staff, and
- iv) The rest 50% of the 'Project Allowance' shall be linked to the achievement of the mutually agreed deliverables during the given quarter by the Government/Public Sector employees. Individual Government/Public Sector employees of this category, upon achievement of 90% to 100% of the given deliverables during the quarter, will be eligible to get 100% of the monthly 'Project Allowance' or else, the monthly 'Project Allowance' (payable quarterly) shall be reduced correspondingly for under performance, unless there is proper justification satisfactory to the Project Director.
- (e) **Enhancement/Revision of monthly CTP on Annual Basis:**
- i) The monthly fixed CTP of contractual consultant/staff will be enhanced/revised every year from 1st of July, subject to the condition that the consultant has been graded as either '**outstanding**' or '**very good**' in the performance rating, pursuant to **para 1**below and he/she has completed one year of service on 30th June of that year.
- ii) For the purpose of determining the enhanced/revised fixed monthly CTP, the following formula will be used:

¹This incentive is to keep such category of employees motivated to deliver efficient and prompt service

<u>Fixation of enhanced/revised fixed monthly fees</u>	<u>Total Initial Fixed pay of contractual consultants/ staff of PCU</u>
A1= A + 3% of A (where 'A' is the fixed monthly CTP as on 30 th June)	
B1= 0 to 20% x A (depending on performance grading i.e. those graded as 'Outstanding' will get 20% and those graded as 'Very Good' will get 10%. The B1 shall not be applicable for consultants graded as 'Average' or 'Below Average')	C1 = A1 + B1
C1= Total enhanced/revised fixed monthly CTP	

Notwithstanding above, in exceptional cases, Project Director may revise the fees of the senior consultants/ advisors on mutually agreed terms with the consultants and with the concurrence of the project-financing agency and Chairman of the Governing Body of ASPIRe.

(f) Daily Allowance/Travelling Entitlements for approved officials tours:

- a. The Daily allowance is meant to cover living (lodging), food and other incidentals expenses when contractual consultant/staff and Government employees (on deputation/service disposal basis) serving the ASPIRe travel out of their assigned headquarters for official work, against tour programs approved by the Project Director. The Daily allowance will be in the form of reimbursement of staying/accommodation expenses (*at actual against voucher/bill*), travelling charges (*for travel within the city/town/field sites out of HQ, at actual against voucher/bill*) and food (*at actual against voucher/bill*), payable at the ceiling of rates given at **Annexure II** for travel within India:
- b. The entitlement ceilings shown at Annex-2 for reimbursement for hotel/guest house accommodation outside Assam will be enhanced for different classes of cities as given below:-

Population of Cities/Towns	Enhancement of the Rates of hotel accommodation/guest house entitlement
50 lakh and above (as per Census of India, 2011)	10%
50 lakh to 5 lakh (as per Census of India, 2011)	05%
Below 5 lakh and within Assam and other North Eastern Region States	No change

- c. All the Contractual consultants/Staff with monthly CTP of **Rs.0.35 lakh and above per month** and Government employees serving the ASPIRe on Deputation/ Service Disposal basis drawing Grade Pay of **Rs.4800 and above per month** will be entitled for travel by Air (economy class only) for official tours outside Assam, in order to save travel time. In case of travel by Air submission of Boarding Passes along with T.A. Bill shall be mandatory. Similarly, for travel by Railway or Bus, submission of tickets will be mandatory.

- d. Contractual consultants/staff with monthly CTP of **Rs.0.35 lakh and above per month** and Government employees serving the ASPIRe on Deputation/ Service Disposal basis drawing Grade Pay of **Rs.4800 and above**, will be eligible for travel within the State on hired taxi.
- e. Contractual consultants/Staff with monthly CTP of **Rs.0.75 lakh per month** and above, and Government employees serving the ASPIRe on Deputation/ Service Disposal basis with Grade Pay of **Rs.5900** and above, will be eligible for travel by AC-Taxies.
- f. The reimbursement of travelling expenses, including travelling, hotel/boarding & lodging and daily allowance entitlements **for official tour programs outside India** duly approved by the Project Director, Govt. of Assam, Govt. of India and the concerned funding Agency of ASPIRe Project will be as per applicable rates for the Government of India officials.
- g. All official tour programs shall be prior approved by the Project Director, either electronically or in paper or else TA bills will not be entertained.
- h. In exceptional circumstances, Project Director may condone any or all the thresholds/requirements indicated above, and allow higher/different threshold of entitlements for different grade of Contractual consultants/staff/Government employees serving the ASPIRe on Deputation or Service Disposal basis.
- i. The ceiling of rates for DA entitlement given at **Annexure II** will be revised every three years for inflation with approval of the Governing Body of ASPIRe.

7 Performance Evaluation

7.1 Introduction to Performance Evaluation

Performance Management at ASPIRe is a formal process of evaluating employee performance, to help the Head of relevant directorate to identify and align the performance targets as per agreed and expected outcomes, plan employee career development, assess readiness for promotion, determine compensation, and improve productivity by communicating goals and expectations to employees.

7.2 Objectives of performance Evaluation

Performance Evaluation shall be carried out at ASPIRe to achieve the objective defined below:

- a) To attain and maintain performance excellence through proper monitoring, appraisal and feedback of individual staff performance
- b) To give employees a clear understanding of the quality and quantity of work expected from them
- c) To encourage performance driven culture and open communication within the organization
- d) To provide fair and objective review of an employee's performance during the year as an integral part of employee development
- e) To motivate and assist employees in improving their performance and achieving their professional career goals
- f) To ensure that the work performed by employees accomplishes the objectives of the ASPIRe
- g) To give employees ongoing feedback on how effective their performance is relative to expectations
- h) To provide objective information for making decisions on salary increments, incentive, promotions and transfers
- i) To measure work performance
- j) To address performance related deficiencies by identifying weak area of employee performance

7.3 Performance Evaluation Phases

ASPIRe Performance Appraisal Process is carried out in several steps starting at the beginning of the year by the direct supervisor agreeing with the employee on job responsibilities. Employee's performance targets shall be in line with the section and organization's objectives.

Performance Management at ASPIRe is a continuous process that is divided into three phases, following are details of each phase in the Performance Management Cycle:

- a) Phase I: Objective Setting
- b) Phase II: Mid-Year Progress Review
- c) Phase III: Annual Performance Appraisal

7.3.1 Phase 1: Objective & KPI setting

Performance Management at ASPIRe will be initiated with the setting of individual performance objectives at the start of the year. The Objectives Setting Exercise focuses on giving each employee an understanding of how his/her work connects to, and serves both the short-term (project-based) and long-term goals of ASPIRe and cascading down the overall ASPIRe strategy. Employees will be required to align their performance objectives with their Directorate's which in turn will give them better visibility of their contribution to the ASPIRe performance.

7.3.2 Phase 2: Mid-Year Review

To evaluate employees' performance in the first six months of the calendar year, a progress review exercise will be conducted from the 1st of July, every year. The Mid-Year Progress Review will assess performance on progress against annual objectives set at the start of the year, and will provide an opportunity for developmental feedback and corrective action.

In the Mid-Year Progress Review performance will be evaluated on the following ratings:

- Performance meets the required standards and expectations; employee has the necessary ability to effectively carry out responsibilities of the current position.
- Performance lacks consistency; employee does not meet required standards / expectations in one or more areas & requires additional monitoring and supervision.

The Mid-Year Progress Reviews shall be carried out by the Head of relevant Function and shall be handed over to HR. This complete activity shall be executed within the month of July.

7.3.3 Phase 3: Annual Performance Appraisal

A comprehensive discussion on the performance and achievements of the employee will be conducted during the Annual Performance Appraisal; however, Coaching, Counselling and Guidance must be an on-going process for the desired improvement and development.

The Annual Performance Appraisal is a guiding tool for the employees and is crucial for performance feedback, future promotions, increments and incentives. In the Performance Appraisal Form, performance will be rated on a point scale:

- a) Outstanding (Performance Rating Score: Equal to or above 3.5): Work performance consistently exceeds job requirements. Employee goes beyond the parameters of the job & makes exceptional contribution to the organization.
- b) Exceeds Expectations (Performance Rating Score: Greater than (or equal to) 2.5 lower than 3.5): Work performance is consistently above the standards of performance for the position.
- c) Meets Expectations (Performance Rating Score: Greater than (or equal to) 1.5 lower than 2.5): Work performance consistently meets the standards of performance for the position and team.
- d) Improvement Needed (Performance Rating Score: Greater than (or equal to) 1 lower than 1.5): Work performance does not consistently meet the standards of performance for the position. Effort is needed to improve performance and bring it in line with team performance standards.
- e) Unacceptable (Performance Rating Score: Lower than 1): Work performance is inadequate and inferior to the standards of performance required for the position. Performance at this level cannot be allowed

to continue.

Employees who get a performance rating of “Improvement needed” in their Performance Evaluation Report (PER) will not qualify for a salary raise, promotion or incentive. These employees will be put on a three-month Performance Improvement Plan (PIP), with clear expected deliverables agreed between the employees and their Head of Directorate. This will help ensure that timely developmental feedback is provided to employees with serious development needs. The PIP process will be driven by head of the concerned function and an HR Officer. Employee’s performance will be evaluated in the Annual Appraisal to judge whether he/she has shown the desired improvement. In case the desired improvement has not been shown, ASPIRe may decide to relieve the employee of his/her services.

7.4 Performance Evaluation Report (PER)

Based on the Annual Performance Appraisal and midyear review, a comprehensive Performance Evaluation Report (PER) shall be prepared by the head of relevant function. PER shall incorporate the evaluation process followed and the results of the performance evaluation process with an overview of the relevant employee’s profile.

PER shall also incorporate the recommendations of the head of relevant directorate as to the action that should be carried out to improve performance. These actions may include (but not limited to) trainings, mentor ship, promotions, salary raise, incentives, benefits etc.

The performance Evaluation Report (PER) shall be handed over to the Head - HR along with the performance Appraisal form. Head - HR shall ensure that the PER is in line with the Performance Appraisal Form and Interim Review Sheet. Head - HR shall ensure that the evaluation process and guidelines embodied in this manual have been appropriately followed and the recommendations from the head of directorate are unbiased and in line with the evaluations carried out.

Performance Evaluation report shall be sent to the Project Director for recommendation and approval.

8 Succession planning

Succession planning is defined as the selection of the most suitable employees and providing auxiliary trainings in order to prepare them for filling leadership gaps in the organization when the need arises. Succession planning is strategic, both in the investment of resource devoted to it and in the kind of talent it focuses on. This is not a onetime event; rather, it is re-assessed and revised annually through the workforce planning process.

8.1 Policy

Following policies shall be applicable to ASPIRe for the purpose of succession planning:

- a) All promotions to and within positions of Grade 10 and above shall be managed through Succession Planning.
- b) Succession Planning will be carried out in a fair and transparent manner and aligned with strategic needs of the organization.
- c) To develop a diverse pool of candidates and considering at least one for each position
- d) Each succession plan shall be approved by the Governing Body.

8.2 Procedure

Succession planning program shall be prepared by head of HR at the start of each calendar year and, in integration with all other human resource processes. The approval of the Governing Body will be sought on the succession plan and the Governing Body will be responsible to oversee the execution through the HR Committee. The succession planning shall comprise the following steps:

- a) Identification of expected leadership gaps and key posts
- b) Assessing benchmark strength factors and skill sets
- c) Identification and selection of high-potential employees
- d) Diagnosing strengths and developmental needs
- e) Preparing trainings and development programs

8.2.1 Identification of expected leadership gaps and key points

Head of HR shall examine the employee data to establish possible vacancies arising during the upcoming year. Expected vacancies can be created due to:

- expected retirements of the employees who have shown intention to retire in near future
- retirement eligible of the employees who are close to the retirement age; and/or
- internal promotions where any personnel is expected to be promoted leaving behind a vacancy

8.2.2 Assessing bench mark strength factors and skill sets

A clear understanding of the capabilities needed for succession planning in key areas is essential for setting performance expectations and assessing performance. Internal assessment is carried out to determine the benchmark factors and skill sets required for the each position. In order to assess these

factors and skill sets, HR Officer will obtain input from line managers/ head of function about the required skills and experience required to carry out the responsibilities of a certain position.

8.2.3 Identification and selection of high-potential employees

HR shall develop nomination criteria to identify the talent pools available within the organization. Employees can nominate themselves, to the talent pool by application to HR Officer. Initial screening of candidates will be carry out by the HR Officer. Final selection of candidates for succession planning will be carried out by HR Committee.

8.2.4 Diagnosing strengths and developmental needs:

The selected candidates/employees for all the leadership positions will form an ‘accelerated pool’. Relative strengths and experiences of each employee will be carried out by the HR Officer in conjunction with the head of relevant functions and HR Committee. Training and development needs will be assessed for each employee on the basis of his strengths and skills evaluation.

8.2.5 Preparing trainings and development programs

It is the responsibility of the HR to develop training and development programs for each employee of the accelerated pool as per the directions and recommendations of the HR Committee.

HR shall be responsible for execution of training and development program as approved by the HR Committee.

9 Employee Exit Policy

The purpose of this policy is to outline the ways in which a working relationship can be terminated either by the employer or employee and to lay out the procedure on how exits from ASPIRe will be managed. Exits deal with resignations, terminations, retirements, completion of fixed-term contract and dismissal.

Termination of Service can only be carried out in case of gross misconduct or negligence from the staff member and disciplinary action is adequately carried out resulting in termination of employment.

Voluntary resignation includes, but is not limited to, instances in which an employee resigns in writing or the contact period of the staff member expires. The service of an employee may be terminated as a consequence of restructuring, job elimination, and economic downturns in funding or lack of work. All benefits associated with such terminations will be provided to the employee.

9.1 Notice period

Following policies shall be applicable regarding Notice period:

- a) One month's notice period must be served by the staff member in case of resignation.
- b) Notice period is not required in case of termination. No payment shall be made in lieu, unless the disciplinary committee decides otherwise.
- c) During the probationary period, either ASPIRe or employee may terminate the employment without cause and at any time by giving 24 hours' notice in writing to the other party.
- d) Notice period can be waived off by the head of relevant function (subject to Project Director's approval) only in the following cases:
 - Employee submits written request to waive off the notice period;
 - In case where employee does not offer/serve the full written notice period, his/her salary will be deducted in lieu of notice period (prorated on 30 days basis in case of partial notice);
 - In case where employee does not submit written request notice period waiver and management needs to release employee before the end of notice period from the services due to certain situation, then HOD can initiate an early separation. However, the employee shall be entitled to salary in lieu of notice (prorated on 30 days basis in case of partial notice);
 - Leaves cannot replace notice period, and are frozen the day an employee resigns i.e. employee cannot avail leaves after submitting resignation. However, employee may avail casual leave in dire need.

9.2 Termination/resignation process

Following policies and procedures shall be applicable regarding the termination and resignation procedures followed by ASPIRe:

- a) The employee should submit a written resignation to his/her Directorate head, one month in advance of his/her resignation as per the terms and conditions laid down in the employment contract.
- b) The directorate head shall forward it to the HR after approving it or with his recommendations for further action.
- c) Employee shall be formally communicated about resignation acceptance or decline through a letter issued by HR.

- d) Employee needs to schedule a meeting before the last working day with head of HR for an exit interview. The information collected during exit interview will be classified and used to determine the reason for leaving the position or organization and may be used to take any necessary action.
- e) HR shall initiate the clearance process a week prior to the expected last working day of the employee. However, in situation where clearance will be held with some directorate due to some dispute e.g. recovery of advance, laptop return etc., and employee will be responsible for obtaining clearance from respective directorates through Clearance Form (Annex).
- f) Employee should handover all ASPIRe assigned equipment to respective directorates and get clearance e.g. computer to IT, ASPIRe Card to Administration, etc.
- g) Employee will be responsible to hand over all tasks, files, folders, and assets assigned by the directorate to his/her Head of directorate or any other person designated by the head of directorate.
- h) Payroll will adjust any deduction(s) from the employee's available funds (salary/earned leaves, etc.) and issue a crossed cheque(s) of remaining amount in employee's name. In case of deceased employee, final settlement cheque(s) will be issued in the name of his/her nominees as per HR record (Nomination Form Annex)
- i) HR will process final settlement in approximately 7 working days subject to clearance from all respective directorates.
- j) In case of Termination of Service due to misconduct or disciplinary action, ASPIRE reserves the right to withhold all compensation. Any points related to employee exit in other HR policies (such as Performance Management) should be considered a part of this policy.

9.3 Retirement

Employee will be retired from the service of ASPIRe upon attaining the age of 60 years and 55 years for woman. An employee may be retired earlier on the grounds of ill health, physical, mental incapacity to work, or on his/her written request. Age will be determined from the documents provided to HR and as recorded in the system. Last working day of the retiree will be considered the last working day of the month in which he/she reaches 60/55 years of age, as the case may be, however the retirement age can be extended if the physical and mental health is not impaired and subject to approval of the Governing Body.

9.4 Severance Payment

Severance payment to be made at the time of recruitment / retirement is defined as follows:

9.4.1 Provident fund

Accumulated balance in the Provident Fund account shall be paid as severance payment to the separating/retiring employee or to beneficiaries nominated by the employee in case of her/ his death.

9.4.2 Gratuity fund

Gratuity fund payment shall be made as per the policies and procedures defined in the manual.

9.4.3 Leave encashment

Earned Leaves available for encashment at the time of retirement / resignation shall be payment in cash by ASPIRE as part of their severance package.

10 Disciplinary Policy

At ASPIRe breach of disciplinary code is classified into following categories:

- a) Negligence includes the following behaviours on part of executives:
 - Poor performance
 - Absenteeism, lack of interests in work etc.

- b) Misconduct includes the following behaviours on part of executives:
 - Theft, fraud or dishonesty in connection with the activities or property of ASPIRe or with the property of any person within the premises of ASPIRe
 - Taking or giving bribes or any illegal gratification
 - Wilful insubordination or disobedience, of any lawful orders of a superior
 - Absence without leave or over-staying beyond the sanctioned leave
 - Damaging any property of ASPIRe
 - Habitual late coming or irregular attendance
 - Riotous or disorderly or indecent behaviour whether within the premises of ASPIRe or outside such premises where such behaviour is related to or connected with his/her employment
 - Making representation or sending grievances, objections, etc.; to the members of the management except through the proper channel
 - Striking work either singly or along with others in contravention of the Service or the Employee Relations Policies and Procedures for the time being in force or inciting or forcing any employee of ASPIRe to strike work
 - Refusal to put in additional hours of work as and when required by the management
 - Not taking reasonable precaution to safeguard ASPIRe property to prevent accident or damage to it
 - Organizing, holding or conducting any meeting except those connected with the work of ASPIRe within ASPIRe premises without the previous sanction in writing of the management
 - Unauthorized collection or attempt to collect records or documents of ASPIRe
 - Interfering with, tampering, altering, or fabricating records of ASPIRe
 - Threatening, intimidating or manhandling any employee within the premises of ASPIRe or elsewhere if it is related to the work of ASPIRe
 - Abetting or attempting to abet any act which amounts to misconduct

10.1 Disciplinary Procedures

Disciplinary procedure adopted at ASPIRe consists of five steps segregated into two levels i.e. Informal and Formal.

10.1.1 Level 1: Informal Procedures

Step 1 – Informal Discussion/Counselling:

The management of ASPIRe recognizes that the majority of its staff member sincerely wants to do what is required of them and follow the policies and procedures. An unsatisfactory conduct or performance may, in the first instance, be subject of informal discussions, counselling and offering every opportunity to improve performance or conduct. Where the immediate line manager considers that action should be taken to encourage an executive to improve his conduct or performance, a counselling session with the head of relevant directorate may be held.

This session is used to bring the employee's attention to the aspects in which it is thought that performance or conduct is unsatisfactory (for example, an issue of time keeping) and to ascertain whether the employee recognizes that there is a problem.

Step 2 – Verbal Warning:

A verbal warning is likely to be appropriate when there is a first breach of rule(s), and the breach is of a minor nature. The Verbal warning is an important step in the disciplinary process, because it is at this point that cause for further action may be prevented or - if cause persists - provides the foundation for further action(s).

10.1.2 Level II – Formal Procedures:

The formal procedure may follow a pattern of written warnings where previous informal disciplinary action has not resulted in improvements of either performance or behaviour. In case, if a single act of misconduct may be of a sufficiently serious nature to be addressed and an investigation is required to determine the cause of the event then step 1&2 shall be ignored.

Step 1 - First Written Warning:

First written warning is likely to be appropriate when there is:

- a) A continued, or a repeated, breach of a rule(s) as mentioned in ASPIRe Disciplinary Code or
- b) A first breach of a rule or misconduct which, when assessed, is of sufficient gravity to warrant a penalty higher than a verbal warning.
- c) A written warning may or may not be preceded by a verbal warning depending on the seriousness of the inappropriate behaviour or if one or more verbal warnings have been ineffective in correcting conduct or behaviour.
- d) Warning letter shall be formed by the Head - HR and approved by the Project Director. Copy of warning letter shall be recorded in the employees personnel file while the original shall be handed over to the relevant employee.

Step 2 - Second (Final) Written Warning:

If same offence is occurred again or performance/conduct fails to improve written warning shall be given by filling Disciplinary Form by the HR, followed by a formal disciplinary interview with the Head of function and HR. The second written warning gives details of the offence and of the required improvement, and copy shall be placed in the personal file held in the HR while the original shall be handed over to the employee.

Step 3 –Investigation & Suspension and Enquiry

- a) Suspension
 - Where there are allegations of Criminal practices or Gross Misconduct, the employee shall be suspended as soon as it is determined that there is a case of Criminal practices or Gross misconduct. Suspension does not in itself constitute a disciplinary act, but allows for a fair investigation to take place. The order of suspension is communicated in writing to the employee.
 - An executive under suspension will be paid his basic pay only and the maximum period of this suspension is 2 months.
 - When an executive who has been suspended is reinstated and found not guilty, he is considered on duty during the period of suspension and is entitled to the Compensation and Benefits as he would have received if he had not been suspended.
- b) Investigation

- It is the responsibility of the head of relevant function to inform HR in cases of misconduct and provide complete information of the incident as soon as the actual incident occurs.
- A formal enquiry is conducted prior to any disciplinary action is taken by head of relevant function and the Head - HR. Letter of Explanation shall be submitted by the disciplinary committee.
- Governing Body shall appoint three members Disciplinary Committee to carry out the enquiry.
- The employee shall have the right to object to the constitution of Disciplinary Committee where he feels that any member of the Committee is prejudice or bias to the rights of the employee or may not be able to discharge his/her duties, as required under the circumstances, in an honest, transparent, just and competent manner.
- The Enquiry Committee shall have the power to call any staff member for statement, evidence, information, as witness or otherwise.
- The employee shall be given an opportunity of being heard. In this regard a Hearing Notice shall be issued to the employee mentioning therein the date, time and venue of the hearing. The Enquiry Committee shall record the statement of the employee which will be signed by the employee.
- At the end of the enquiry, the Disciplinary Committee shall submit its findings, in the form of report and recommend the action to be carried out.
- The report shall be submitted to the Head - HR by the disciplinary committee. Head - HR shall ensure that the process followed in the disciplinary action is appropriate and in line with the policies and procedures of ASPIRe.
- The Report shall be referred to Chairman of Governing Body for approval.

10.2 Disciplinary Action

The disciplinary committee may decide to carry out the following disciplinary action based on the severity of misconduct:

- a) A written warning (all warning letters must be routed to HR)
- b) A show-cause/explanation notice
- c) Withholding (for a specific period) of promotion or increment
- d) Recover from pay of the whole or any part of any pecuniary loss caused to the organization by negligence or breach of orders
- e) Suspension (at 50% Pay) for a period not exceeding thirty (30) days
- f) Termination from services

11 Leave Policy

For government employees serving ASPIRe either on deputation or on service disposal basis, all leaves including casual leave will be as per the prevailing leave rules of the Government of Assam.

For contractual consultants and staff, **the maximum number of casual leaves to be allowed in a year shall be 12 working days, excluding 2 days of restricted holidays.** Leave of absence for more than total a total 14 (=12+2) working days in a year shall be treated as leave without pay. However, casual leave for more than 5 working days at a stretch shall not be granted to contractual consultants and staff. All leave will need to be sanctioned in advance.

Contractual consultants and staff may also be allowed medical leave (with paid with the CTP) for a maximum of 10 days in a year, subject to production of medical certificates. However, leave of absence on medical ground beyond 10 days in a year will be treated as leave without remuneration/CTP.

Notwithstanding above, Project Director may grant other specials leaves subject to proper justifications.

12 Resignation and Termination

12.1 Resignation

Consultants may tender their resignation from the position by giving a one-month notice. However, Project Director has the power to relax the notice period. Similarly, Government employees on deputation or on service disposal basis may request their respective parent department through the Project Director, for reverting to the parent department or relieve from the additional duties in ASPIRe in case of employees on service disposal basis.

12.2 Termination

- a) The services of any contractual consultant/staff and Government employees on deputation/service disposal basis, found to have indulged in corrupt and fraudulent practices or involved in a criminal case, may be terminated by Project Director with the approval of the HR Committee, without any notice and penal action shall be taken against the contractual consultant/staff and Government employees on deputation/service disposal basis as per rules and regulations and law.
- b) The Project Director with approval of the HR Committee may terminate the services of any contractual consultant/staff and Government employees on deputation/service disposal basis without assigning any reason by giving one-month notice.
- c) The contractual consultants and staff who are graded as average for two consecutive years or below average in a year shall be terminated with the approval of the HR Committee. However, the consultants and staff graded as average in the first year will have one opportunity to request re-evaluation of the performance assessment by the HR Committee. The HR Committee may re-evaluate the process within 15 days of request, to determine that fair evaluation was indeed been carried out and the decision of HR Committee after the re-evaluation shall be final and binding. There shall not be any re-evaluation of the performance of the consultant and staff in case of grading as average in the second consecutive year and their services shall be terminated.
- d) Violation of office code of conduct) by any contractual consultant/staff and Government employees on deputation/service disposal basis shall lead to termination of services.
- e) Repeated misconduct by any contractual consultant/staff and Government employees on deputation/service disposal basis after issuance of warning in past shall lead to termination of services, without assigning any notice period.

13 Working Hours and Conditions

The following Office Code of Conduct shall be applicable for all the consultants of ASPIRe. The contractual consultant/staff and Government employees (on deputation/service disposal basis) serving ASPIRe are expected to read, understand and follow the OCC, uphold highest standards of personal integrity in day-to-day activities, and comply with all the applicable laws, rules and regulations as well as all the applicable policies and procedures adopted by ASPIRe that govern the conduct of its contractual consultant/staff and Government employees (on deputation/service disposal basis) serving ASPIRe. Failure to adhere to these may result in disciplinary action and/or termination of service. The OCC include, but are not limited to the following:

All the contractual consultant/staff and Government employees (on deputation/service disposal basis) serving ASPIRe shall:

- a) Attend the office at 10:00 AM to 5:00 PM on all working days of the Government of Assam, with the exception as provided in the respective Terms of Reference (TOR) for the positions or as directed by Project Director and shall not leave office without Project Director's permission. The contractual consultant/staff and Government employees (on deputation/service disposal basis) serving ASPIRe may also be required to attend on other days in the interest of urgent works, as and when directed by Project Director. Unauthorized absences, late arrival, and early departures shall be considered as unsatisfactory work behaviour, and may invite penal action.
- b) All the contractual consultant/staff and Government employees (on deputation/service disposal basis) serving ASPIRe shall be mandatorily required to record their physical attendance in the office of ASPIRe as stated above, unless allowed by Project Director for specific reasons or they are on official tours prior approved by Project Director or they are allowed to work from home/remotely.
- c) Employees of ASPIRe recording their presence late one hour (i.e. after 11 AM), unless allowed by Project Director to do so, will not get daily CTP/Project Allowance for every eight (8) hours of such cumulative delays, and their daily CTP/project allowance for a day will be deducted accordingly for every such eight (8) hours of cumulative delays.
- d) Government employees serving the ASPIRe on part time service disposal basis record their presence in ASPIRe through the attendance system.
- e) Perform assigned tasks and duties with honesty and integrity and in a professional manner that protects ASPIRe's and Project's public image and reputation.
- f) Build relationships with visitors, stakeholders and fellow consultants based on trust, courtesy and mutual understanding, and treat every individual with respect and dignity while performing the assigned duties.
- g) Become familiar with and comply with the legal requirements and office policy and procedures.
- h) Avoid any activities that could involve or lead to involvement in any undesirable and unlawful practice or any harm to the ASPIRe's reputation and image.
- i) Provide accurate, reliable and timely information in all reports and records submitted, safeguard ASPIRe's confidential information, and respect the confidential information of other stakeholders.
- j) Promptly report to the Project Director any violations of law or ethical principles or ASPIRe's policies that come to the attention of the contractual consultant/staff and Government employees (on deputation/service disposal basis) serving ASPIRe and cooperate fully in any audit, enquiry, review or investigation by the competent authority.
- k) Perform their duties with commitment and loyalty to the ASPIRe. This means that contractual consultant/staff and Government employees (on deputation/service disposal basis) serving ASPIRe should make decisions objectively and in the best interests of the ASPIRe.

- l) Act in accordance with the highest standards of personal and professional integrity, honesty and ethical conduct, not only within the office premises and offsite but also at the ASPIRe sponsored events at any place. Honest and ethical conduct is the conduct that is free from fraud, corruption, nepotism, fraudulence, and deception; and conforms to the accepted professional standards, and is without any conflict of interest between personal and professional relationships.
- m) Treat women colleagues with courtesy, respect and dignity.
- n) Not smoke and drink alcoholic beverages inside the office premises.

Annexure I

ASPIRe: HR Policy								
Annex- 1: Cost to Project (CTP) for Contractual consultants and staff								
Level	Grade	Indicative Profile	Base remuneration per month	Performance Linked Incentive per month	Communication Allowance	Medical Insurance	CTP Monthly	CTP Yearly
L1	A	<ul style="list-style-type: none"> For Senior consultants, e.g. for specialist positions relating to Financial Management, Procurement Management, computerized MIS, IT Infrastructure; Front-Line Delivery Institutions, Electronic Services Delivery, Change Management, etc. Post Graduate in specific thematic area or Graduate with specialized trainings in the specific thematic area 11 to 15 years and above experience in specific thematic areas respective to the assignment at managerial/ leadership position ; In case of graduates the experience in the specific sector shall be over 15 years 	1,18,000 To 1,68,000	25,000 To 40,000	5000	2000	1,50,000 To 2,15,000	18,00,000 To 25,80,000
	B	<ul style="list-style-type: none"> For Mid-level consultants, e.g. for specialist positions relating to relating to Financial Management, Procurement Management, computerized MIS, IT Infrastructure; Front-Line Delivery Institutions, Electronic Services Delivery, Change Management, etc. Post Graduate in specific thematic area or Graduate 	80,000 To 1,30,000	10,000 To 25,000	3000	2000	95,000 To 1,60,000	11,40,000 To 19,20,000

ASPIRe: HR Policy								
Annex- 1: Cost to Project (CTP) for Contractual consultants and staff								
Level	Grade	Indicative Profile	Base remuneration per month	Performance Linked Incentive per month	Communication Allowance	Medical Insurance	CTP Monthly	CTP Yearly
		<p>with specialized trainings in the specific thematic area</p> <ul style="list-style-type: none"> 7- 10 years of experience; In case of graduates the experience in the specific sector shall be over 10 years 						
	C	<ul style="list-style-type: none"> For Junior-level consultants, e.g. for professional positions relating to relating to Financial Management, Procurement Management, computerized MIS, IT Infrastructure; Front-Line Delivery Institutions, Electronic Services Delivery, Change Management, etc. Post Graduate in specific thematic area or Graduate with specialized trainings in the specific thematic area 5 to 7 years of experience in specific thematic areas managerial and leadership position; ; In case of graduates the experience in the specific sector shall be over 7 years 	46,000 To 76,000	5,000 To 10,000	2500	1500	55,000 To 90,000	6,60,000 To 10,80,000
L2	A	<ul style="list-style-type: none"> For positions relating to Support staff such as for Procurement Management, Financial Management, Monitoring & Evaluation, Social Safeguard, Environmental safeguards etc. Minimum Graduate in any discipline 	30,000 To 45,000	3,000 To 4500	1200	800	35,000 To 51,500	4,20,000 To 6,18,000

ASPIRe: HR Policy								
Annex- 1: Cost to Project (CTP) for Contractual consultants and staff								
Level	Grade	Indicative Profile	Base remuneration per month	Performance Linked Incentive per month	Communication Allowance	Medical Insurance	CTP Monthly	CTP Yearly
		<ul style="list-style-type: none"> Minimum 4 years of experience in respective sector and in similar assignments in any World Bank funded projects/ externally aided projects or similar Govt. of India funded projects/National level reputed projects including minimum one (1) year in Govt. projects. Must be excellent in using computer applications, with advanced knowledge of Office Management, proficiency in MS Office Applications (like Word, Excel, Power Point, MS Project etc.) including email. 						
	B	<ul style="list-style-type: none"> For positions relating to Office Management, Sectional Assistant, etc. Minimum Graduate in any discipline (For existing in-house candidates with Class-XII pass certificate and having atleast over 2 years of experience in similar position, and with excellent efficiency , this requirement will be condoned) Minimum 2 years of experience in respective sector and in similar assignments in any World Bank funded projects/ externally aided projects or similar Govt. of India funded projects/National level reputed projects including minimum one (1) year in Govt. projects. Must be excellent in using computer applications,with advanced knowledge of Office Management, 	16,000 To 21,000	2600	800	600	20,000 To 25,000	2,40,000 To 3,00,000

ASPIRe: HR Policy								
Annex- 1: Cost to Project (CTP) for Contractual consultants and staff								
Level	Grade	Indicative Profile	Base remuneration per month	Performance Linked Incentive per month	Communication Allowance	Medical Insurance	CTP Monthly	CTP Yearly
		proficiency in MS Office Applications (like Word, Excel, Power Point, MS Project etc.) including email.						
L3	-	<ul style="list-style-type: none"> For Office Boys, Photocopiers, Security Staff, Cleaners, Drivers, Messenger, etc. Atleast matriculate or Class-X pass (this requirement shall not be applicable of in-house existing staff in equivalent positions). Minimum 3 years of experience in respective similar assignment. Candidates (including in house staff in similar positions) having more than 5 years experience will be eligible for the base salary of Rs.14,000 pm. 	10,500 to 14,000	2,000	-	500	13,000 To 16,500	1,56,000 To 1,98,000

Note:

1. CTP: Cost to Project.
2. Depending on the qualifications, experience, competency, and also the remuneration/pay package of the last assignment of the candidate, the consolidated fixed CTP structure for the different positions will be determined within the range as indicated in this Annex and will be mutually agreed with the contractual consultants/staff before signing of contract agreement.
3. However, in case of exceptionally outstanding/meritorious incumbents, depending on the need, SPD will have the power to enhance the CTP indicated above by 20% and enhance above 20% shall be with approval of HR Committee.

Annexure II

Sl. No.	Monthly CTP of Contractual consultants/Staff and Grade Pay of Government employees (as per ROP 2010) serving ASPIRe on Deputation/ Service Disposal basis (Part time or full time)	Ceiling of Rates for Reimbursement of the Dearness Allowance entitlements			
		For hotel/ guest house accommodation <u>OUTSIDE Assam</u> up to (Amount)	For hotel/ guest house accommodation <u>WITHIN Assam</u> up to (Amount)	For hiring taxi charges up to (Amount)	For food bills up to (Amount)
1	<ul style="list-style-type: none"> Monthly CTP of Contractual consultants/Staff: >= Rs.1.50 lakh per month; Grade Pay of Government employees serving ASPIRe on Deputation/ Service Disposal basis: >=Rs.6600 and for all IAS officers 	Rs.7500 per day	Rs.3000 per day	Rs.2200 per day (AC Taxi)	Rs.1200 per day
2	<ul style="list-style-type: none"> Monthly CTP of Contractual consultants/Staff: <Rs.1.50 lakh per month and >= Rs.0.75 lakh per month; Grade Pay of Government employees serving ASPIRe on Deputation/ Service Disposal basis: >=Rs.5900 GP <Rs.6600 	Rs.4500 per day	Rs.2500 per day	Rs.1800 per day (AC Taxi)	Rs.1000 per day
3	<ul style="list-style-type: none"> Monthly CTP of Contractual consultants/Staff: <Rs.0.75 lakh per month and >= Rs.0.50 lakh per month; Grade Pay of Government employees serving ASPIRe on Deputation/ Service Disposal basis: >=Rs.4900 GP <Rs.5900 	Rs.2500 per day	Rs.2000 per day	Rs.1400 per day (NON-Ac)	Rs.800 per day
5	<ul style="list-style-type: none"> Monthly CTP of Contractual consultants/Staff: <Rs.0.50 lakh per month and >= Rs.0.35 lakh per month; Grade Pay of Government employees serving ASPIRe on Deputation/ Service Disposal basis: >=Rs.4300GP <Rs.4900 	Rs.2000 per day	Rs.1500 per day	Rs.1000 per day (NON-Ac)	Rs.600 per day

Sl. No.	Monthly CTP of Contractual consultants/Staff and Grade Pay of Government employees (as	Ceiling of Rates for Reimbursement of the Dearness Allowance entitlements			
6	<ul style="list-style-type: none">Monthly CTP of Contractual consultants/Staff: <Rs.0.35 lakh per month;Grade Pay of Government employees servingASPIRe on Deputation/ Service Disposal basis: GP <4300	Rs.1500 per day	Rs.1000 per day	Rs.1000 per day (NON-Ac)	Rs.400 per day

Annexure III

PROFORMA FOR APPLICATION

PHOTO

NAME OF THE OFFICER:

FATHER'S NAME:

DATE OF BIRTH:

QUALIFICATION:

(a) Educational qualification:

Year	Degree	Name of College/University	Subjects/Paper

(b) Professional qualification

Year	Degree	Name of College/University	Subjects/Paper

PRESENT POST HELD:

SCALE OF PAY:

EXPERIENCE IN THE PRESENT POST:

PRESENT EMPLOYER’S NAME:

PRESENT PLACE OF POSTING:

DETAILS OF THE POSTS HELD, BEGINNING WITH THE PRESENT POST

Sl.No.	Post Held	Scale of the post held	Period of tenure in the post	Scale of pay of the post held	Detail of work handled

DETAILS OF PROFESSIONAL TRAINING UNDERGONE:

CONTACT NUMBER INCLUDING Email ADDRESS:

(Signature of the candidate)