

No. 423347/2022-ESTT

Date: 14th February, 2023

NOTIFICATION

The BoG in its 24th meeting held on 23.12.2022, approved the Grievance Redressal Mechanism for the serving and retired employees of IIT(ISM), Dhanbad with a view to ensure smooth handling of Grievances and Appeals thereon in IIT(ISM), Dhanbad. In this regard, a Standard Operating Procedure (SOP) for handling of Grievances and Appeals is as under:-

The SOP for handling of grievances and appeals

1. What is Grievance?

i. Grievances are expressions of resentment against specific acts of omission or commission relating to service rights or conditions that are wrong or perceived to be as wrong and require corrective action to be taken. In other words, if a grievance is received, it needs to be redressed.

ii. For this purpose, grievances means the representations connected with the service rights or conditions by Faculty, Officers & staff (including retired) of the Institute;

iii. The following types of grievances shall not be taken up for redress by this Institute:-

- Sub-judice cases or any matter concerning Judgement given by any Court
- Personal and family disputes
- RTI matters (non-furnishing of replies under RTI)
- APARs [As decided in the 23rd meeting of the BoG] / Six-monthly assessment reports.
- Anything that impacts upon territorial integrity of the Country or friendly relations with other countries
- Grievance involving policy matters of the Institute and/or Govt. of India/Government of any State or UT}

2. Who can prefer grievance

i. Faculty, Officers & staff (including retired) of the Institute can lodge their grievance, if any.

ii. The person who seeks redress of his/her grievance shall submit representation/ grievance under his/her own signature or through online. Representations submitted by spouse/relatives will be considered as complaints only and will be treated accordingly. The only exceptions may be cases in which, because of the death/physical disability etc. of the employee, it is impossible for the employee himself to submit a representation; the spouse/relatives may represent.

iii. Efforts shall be made to prefer grievance in clear & unambiguous terms by mentioning details of the individual representing and the relief sought. Copies of all the documents relevant to the case shall be enclosed.

3. Prerequisites for submission of grievance, if any

i, Whenever an employee wishes to press a claim or seek redress of a grievance, the proper course for him/her is to address his/her immediate official superior or Head of his/her Office/Department/Centre/Unit or such authority at the lowest level as is competent to deal with the matter. A representation/grievance may not be made unless the appropriate lower authority has already rejected the claim or refused relief or unduly delayed disposal of case. A person may lodge the grievance only after exhausting the prescribed normal channels.

ii. Needless to add, submission of representations including grievances directly to the higher authorities by- passing prescribed channels are not allowed and such act can be treated as an misconduct attracting provisions of CCS (Conduct) Rules, 1964. This would include all forms of communication including through e-mails or public grievance portal etc. The DOPT OM _ F.No.11013/08/2013-Estt.(A-III) dated 31.08.2015 refers.

Handling of Appeals/Complaints against Disposal of Grievances – Standard Operating Procedure

1. What is Appeal against Disposal of Grievance?

An Appeal is an application to the Appellate Authority with the request for review or reconsideration of the decision of the Grievance officer, who had earlier considered & redressed the grievance.

2. Who can prefer Appeal?

Any person, who had earlier preferred a grievance which was disposed of/closed and the individual is not satisfied with the decision of the competent authority who had earlier considered & redressed the grievance, may prefer an Appeal.

3. Submission of Appeals

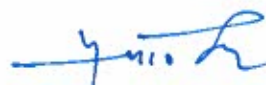
i. An Appeal can be made only after final disposal of the grievance initially lodged. No Appeal is allowed against a grievance which is pending.

ii The Appeal should contain details of the grievance and reply furnished to the individual in disposal of grievance. Incomplete appeals will not be considered.

4. Receipt of Appeals by the Appellate Authorities

i. Appeals can be received either through E-mail or in hard-copies.

ii. Where an appeal is received without necessary supporting documents or details of grievance initially disposed of, the same may be returned to the appellant with advice to re-submit the same with requisite details.



5. Levels of Appellate Authorities:

There shall be two levels of appellate authorities – The First Appellate Authority and Final Appellate Authority. In case of serving/retired Group – B and Group – C employees, the Director shall be the final appellate authority and in case of serving/retired faculty members/ Group – A Officers, the Board of Governors shall be the final Appellate Authority.

6. Details of Grievance Officers and Appellate Authorities and procedure for handling of grievances and appeals:

The escalation matrix containing details of Grievance Officer, First Appellate Authority and Final Appellate Authority and the procedure for handling of grievances and appeals preferred are mentioned in **Annexure-A** [for Group – B and Group – C] and **Annexure-B** [for Faculty and Group-A Officers]



Escalation Matrix for Staff Grievances (Serving/retired Group-B and Group-C employees in whose case Director is the appointing Authority)

Sl. No.	Grievance Pertaining to	Grievance Officer	First Appellate Authority	Final Appellate Authority
1.	Establishment Section (Non-Faculty)	Registrar	Dean (Admin)	Director
2.	Vigilance	CVO	Dy. DT	Director
3.	Purchase & Store Section.	Registrar	Dy. DT	Director
4.	Purchase & Stores (Projects)	Registrar	Dean (R&D)	Director
5.	Finance & Accounts Section	Registrar	Dy. DT	Director
6.	Project Accounts Section	Associate Dean(RI)	Dean (R&D)	Director
7.	Audit Section	Registrar	Dy. DT	Director
8.	Central Library	PIC (Library)	Dy. DT	Director
9.	Vehicle Section	Registrar	Dy. DT	Director
10.	Computer Centre	Assoc. Dean (N&S)	Dean (IS)	Director
11.	Automation Centre	Assoc. Dean (Automation)	Dean (IS)	Director
t2.	O/o Dean (Academic)	Assoc. Dean (UG)	Dean (Acad.)	Director
		Assoc. Dean (PG)	Dean (Acad.)	Director
		Assoc. Dean (AC)	Dean (Acad.)	Director
13.	Sports & Physical Education Centre	Assoc. Dean (SA) [i.e. President (SPEC)]	DSW	Director
14.	O/o Dean (Students Welfare)	Assoc. Dean (HM)	DSW	Director
		Assoc. Dear (SIW)	DSW	Director
		Assoc. Dean (SA)	DSW	Director
15.	Campus Administration	Security	Registrar	Director
		Estates	Dean (Infra)	Director
		Horticulture	Dean (Infra)	Director
16.	DT Secretariat and Monitoring & Review	Assoc. Dean (M&R)	Dy. DT	Director
17.	Health Centre	CMO-in-charge	Dean (Admin)	Director
18.	O/o Dean (IRAA)	Dean (IRAA)	Dy. DT	Director
19.	O/o Dean (R & D)	Assoc. Dean (SRIC)/RI	Dean (R&D)	Director
20.	All Academic Departments / Centres/ CRF/CIIE	Concerned HoD/HoC	Concerned Dean	Director
21.	O/o Registrar	Dean (Admin)	Dy. DT	Director



Action by Grievance Officer

- i. On receipt of a grievance, the same shall be examined by the Grievance Officer for further necessary action. In case the same is NOT covered under the definition of 'grievance', the same shall be considered as a representation/complaint only & processed for further necessary action as deemed fit. The individual shall be intimated suitably.

- ii. In cases other than (i) above, the issue raised in the grievance shall be examined and necessary corrective action taken. The action taken may be intimated to the individual concerned through the letter/email.

- iii. In case where the higher authority is required to be consulted for further action or clarification, the Grievance Officer may further refer the matter, to the appropriate authority. After completion of action, the same shall be intimated to the individual concerned through the letter/email.

- iv. The issue(s) raised in the grievance should be redressed by the Grievance Officer at the earliest and preferably, within 30 working days. In case redressal is not possible within the prescribed time-frame due to any valid reasons, an interim reply shall be given to the petitioner.

- v. After resolving the issue raised in the grievance, the individual concerned shall be intimated through a letter to be sent by post/email.

Action by the First Appellate Authority

- i. On receipt of an appeal by the First Appellate Authority, the same will be examined in the Office of the First Appellate Authority for further necessary action. After obtaining approval of the First Appellate Authority, a suitable reply in the form of speaking order will be issued to the appellant through post/mail.

- ii. The appeal at the level of First Appellate Authority should be redressed at the earliest, and preferably within 30 working days.

Action by the Final Appellate Authority

An appropriate standing committee may be constituted by the Final Appellate Authority, i.e. the Director, comprising of the members from the Institute and external members (if found necessary). Report of the committee will be presented to the Director for his consideration and decision.

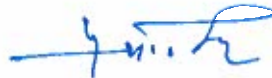


**Escalation Matrix for Staff Grievances (Serving/retired Faculty Members /
Group – A Officers in whose case BoG is the appointing Authority)**

Sl. No.	Grievance Pertaining to		Grievance Officer	First Appellate Authority	Final Appellate Authority
1.	Faculty Affairs		Dean (Faculty)	Director	BoG
2.	Establishment Section Non-Faculty		Dean (Admin)	Director	BoG
3.	Vigilance		CVO	Director	BoG
4.	Purchase & Store Section.		Dy. DT	Director	BoG
5.	Purchase & Stores (Projects)		Dean (R&D)	Director	BoG
6.	Finance & Accounts Section		Dy. DT	Director	BoG
7.	Project Accounts Section		Dean (R&D)	Director	BoG
8.	Audit Section		Dy. DT	Director	BoG
9.	Central Library		Dy. DT	Director	BoG
10.	Vehicle Section		Dy. DT	Director	BoG
11.	Computer Centre		Dean IS	Director	BoG
12.	Automation Centre		Dean (IS)	Director	BoG
13.	O/o Dean (Academic)		Dean (Acad.)	Director	BoG
			Dean Acad.	Director	BoG
			Dean Acad.	Director	BoG
14.	Sports & Physical Education Centre		DSW	Director	BoG
15.	O/o Dean (Students Welfare)		DSW	Director	BoG
			DSW	Director	BoG
			DSW	Director	BoG
16.	Campus Administration	Security	Dy. DT	Director	BoG
		Estates	Dy. DT	Director	BoG
		Horticulture	Dy. DT	Director	BoG
17.	DT Secretariat and Monitoring & Review		Dy. DT	Director	BoG
18.	Health Centre		Dean Admin	Director	BoG
19.	O/o Dean IRAA		Dy. DT	Director	BoG
20.	O/o Dean (R & D)		Dean (R&D)	Director	BoG
21.	All Academic Departments/ Centres/ CRF/CIIE		Concerned Dean	Director	BoG
22.	O/o Registrar		Dy. DT	Director	BoG

Action by Grievance Officer

i. On receipt of a grievance, the same shall be examined by the Grievance Officer for further necessary action. In case the same is NOT covered under the definition of 'grievance', the same shall be considered as a representation/complaint only & processed for further necessary action as deemed fit. The individual shall be intimated suitably.



ii. In cases other than (i) above, the issue raised in the grievance shall be examined and necessary corrective action taken. The action taken may be intimated to the individual concerned through the letter/email.

iii. In case where the higher authority is required to be consulted for further action or clarification, the Grievance Officer may further refer the matter, to the appropriate authority. After completion of action, the same shall be intimated to the individual concerned through the letter/email.

iv. The issue(s) raised in the grievance should be redressed by the Grievance Officer at the earliest and preferably, within 30 working days. In case redressal is not possible within the prescribed time-frame due to any valid reasons, an interim reply shall be given to the petitioner.

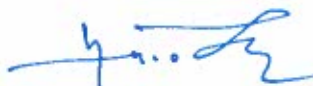
v. After resolving the issue raised in the grievance, the individual concerned shall be intimated through a letter to be sent by post/email.

Action by the First Appellate Authority

- i. On receipt of an appeal by the First Appellate Authority, the same will be examined in the Office of the First Appellate Authority, i.e. Director for further necessary action. After obtaining approval of the First Appellate Authority, a suitable reply in the form of speaking order will be issued to the appellant through post/mail.
- ii. If on any appeal the first appellate authority (i.e. the Director) desires to form a committee, she/he may constitute the committee for consideration and recommendations for facilitating the redressal of grievance and disposal of appeal.

Action by the Final Appellate Authority

An appropriate standing committee may be constituted by the BOG comprising of one of the members of the BoG and one or two external members (may be present/former Directors of other institutes/other eminent persons). Recommendations of such Committees will be presented to the BoG for its consideration and decision.


(Prabodh Pandey)
Registrar (Actg.)

Cc: DT Sectt./ Dy. Director /Dean (Admin) /RG Sectt.
All Employees via E-mail
Webmaster – for uploading the same in the Institute's website

