




Sadguru Sri Sri Sakhar Karkhana Ltd.		
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1. INTRODUCTION TO SADGURU SRI SRI SAKHAR KARKHANA LIMITED

1.1 Introduction

Incorporated in 2010, we at SSSSKL take pride in presenting ourselves as renowned manufacturers of Sugar and Cogenerated Power. We are among best known for our QUALITY and COMPETITIVE PRICING. Our creation is based on our customer's imaginations.

We are working with a team of customer friendly manufacturers & supplier's staff and supported by a dexterous team of talented workforce who are adept at creating the most mesmerizing creations that are a perfect blend of nature. Our strong infrastructure assists us in executing orders of any size while adhering to quality standards and client specifications.

Every stage of manufacturing is closely monitored by our dedicated supervisors to ensure smooth flow of production process. Over the year, our products have gained immense recognition and appreciation from around the globe because of their superior quality.

Our excellent facilities allow us to provide our clients with high quality products. We sugar as a product in our manufacturing unit that is spread over 500 acres with a capacity of 5000 TCD for sugarcane, 17MW Cogeneration Power & 60 KLPD Distillery (Ethanol). We manufacture our products predominantly by using precise and able hand work. We also use new technology in strict accordance with the client's requirement. Moreover, our production unit is designed and maintained as per the industrial standards to prevent any spoilage and leakage. Our production paradigm allows us to keep a check on all stages of production to ensure optimum utilization of resources.

1.2 Management Philosophy:


SSSSKL management philosophy is based on responsibility and mutual respect. People who come to SSSSKL want to work here because we have created an environment that encourages creativity and achievement. SSSSKL aims to become a leader in sugar industry. The mainstay of our strategy is to offer a level of client focus that is superior to that offered by our competitors.

To help in achieving this objective, SSSSKL seeks to attract highly motivated individuals who believe in team work and share in the commitment, responsibility, risk taking and discipline required to achieve our vision. In order to attract these special professionals, a culture that promotes impersonal thinking and global perspective has been built and maintained throughout since its establishment.

While we are be realistic in setting goals and expectations, SSSSKL is also aggressive in reaching its objectives. This success in turn, enables SSSSKL to give its employee above average compensation and innovative benefits or rewards. These key elements help us maintain our leadership position in the worldwide market place.

1.3 Business Ethics and Conduct

The successful business operation and reputation of SSSSKL is built upon the principles of fair dealing and ethical conduct of our employees. Our reputation for integrity and excellence requires careful observance of the spirit and letter of all applicable laws and regulations, as well as a scrupulous regard for the highest standards of conduct and personal integrity.

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The continued success of SSSSKL is dependent upon our customer's trust and we are dedicated towards preserving that trust. Employees owe a duty to SSSSKL and towards its customers to act in a way that will merit the continued trust and confidence of the public.

SSSSKL complies with all applicable laws and regulations and expects its Directors, Managers, Executives and associate staff members to conduct business in accordance with the letter, spirit, and intent of all relevant laws and to refrain from any illegal, dishonest, or unethical conduct.

In general, the use of good judgment, based on high ethical principles, guides an individual with respect to the lines of acceptable conduct. If a situation arises where it is difficult to determine the proper course of action, the matter is discussed openly with the immediate head of the department and, if necessary, with the DIRECTORS, for advice and consultation.

Compliance with this policy of business ethics and conduct is the responsibility of every SSSSKL employee & associated members.

1.4 Policy & Procedures Manual

The SSSSKL Human Resources Policy and Procedures Manual have been developed to facilitate the implementation and clearly define SSSSKL's policies on human resource management.

The Manual provides guidelines to be followed in the administration of these policies, and assists all the employees in defining each human resource management decision and the correct procedure to be followed.

The policies specified within consists those of the best management principles practices. They have the full support and commitment of SSSSKL management.

HR policies must be kept current and relevant. Therefore, from time to time some of the policies and procedures may undergo necessary modifications or amendments as well as new ones may be added.

Suggestions, recommendations or feedback on the policies and procedures specified in this manual are welcome. This can be provided via email or through suggestion boxes.


These policies and procedures are applicable to all areas of operations within SSSSKL and related entities.

1.5 Our Vision

- Create model of all round prosperity in the country's farming community.
- Reduce the disparity of living standards between rural and urban community.
- Create model industrial development in rural pockets.
- Taking total responsibility of socioeconomic development of the people in the surrounding areas.

1.6 Our Mission

- Practical Implementation of professionalism and adoption of the latest developments in agriculture.
- Adoption of latest technologies and efficient use of resources with total commitment and integrity.
- Implementation "the corporate cooperative farming concept."
- Create a transparent and faithful environment amongst farmers.

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2. INDUCTION POLICY

2.1 Objective:

Enable new employee to become familiar with the work environment and all the terms, conditions, policies and procedures that are followed at work place. Also, to give a brief idea of the benefits offered.

2.2 Scope:

Understand clearly about all the policies and procedures that will be followed in an organization.

2.3 Sort Out the Induction Program:

Once the identification of the employees for induction is done, complete induction program should be sorted out which includes identifying the topics on which induction should be given, ascertaining the person to give induction and all.

2.4 Schedule the day of Induction:

The day of induction should be specified in advance and intimate the same to the employees who need to attend the induction program. Ensure that all the listed-out candidates attend the program without fail.

2.5 Arrangements:

Make necessary arrangements in order to conduct the induction program like arranging the room, for snacks, material and etc.

2.6 Evaluation of Induction Program:

Prepare a checklist to ensure that all the topics listed out are covered; it should be issued to the employees attending the induction program and collected after completion of the program. Take feedback from the employees and make necessary changes to improve.


2.7 Responsible Person:

A. HR Department

B. Departmental Head

2.8 Topics that should be covered in Induction:

- Introduction in Brief
- About Group / Organization
- About Plant Set Up
- About HR / Admin Policies


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- Role Of Q & A
- About Product
- About Quality
- About Plant Operations
- About Maintenance
- About Plant Safety
- About Stores Activity
- About concern Department
- About concern Supervisor, subordinates
- About concern Job Profile
- About concern Job
- Policies and Procedures that company follows
- Benefits offered to the employee's
 - I. Medical Benefits for employees and their families
 - II. Health/Disability benefits
 - III. PF/ESI
 - IV. Loan facility
 - V. Leave Encashment
 - VI. Awards and Rewards
 - VII. Performance based benefits

3. RECRUITMENT AND SELECTION POLICY

3.1 Introduction:

Recruitment and Selection aim to search and hire suitable candidate to fill vacancies in SSSSKL with the view to satisfying human resources needs. The search may be internal and external. Any position within SSSSKL that become vacant will be filled, on completion of a requisition form by the immediate supervisor/ HOD. Restructured on newly created positions will only be activated upon approval from the board. The success and adaptability of a Company depends upon the recruitment of employees who are flexible, adaptable and committed to the success of the SSSSKL.

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3.2 Objectives:

This section aims to promote and maintain high standards of professional recruitment practice by encouraging recruiters to adhere to best practices.

Its purposes are to:

- a) Ensure that recruitment is considered an essential part of the human resource
- b) Strategy and consequently an integral part of the overall business strategy
- c) Ensure and explain best practice for all types of recruitment
- d) Maintain professional standards whether recruits are easy to find
- e) Ensure that equality of opportunity is considered an integral part of good recruitment practices and procedure

3.3 Recruitment Authorization Procedure:

A. Authorization:

All authorization procedure detailed below must be completed prior to the commencement on any recruitment procedure.

- a) Prior to the employment of any employee the Manpower Requisition Form must be completed.
- b) The employment of all individuals for budgeted positions within SSSSKL must be authorized by the Department Head and General Manager/ Management.
- c) Employment of Personnel to the position of Manager of Departments will require the authorization of the General Manager/ Management.


B. Procedure:

- a) The Department Manager will complete the Employment Authorization form.
- b) The Department Manager is responsible to ensure correct authorization Procedures have been complied with.
- c) The Department Head will provide the Human Resource Manager with a fully authorized Manpower Requisition Form and instruct commencement of Recruitment.
- d) The Human Resource Manager will control that the correct authorization has been obtained. When all is in order, they shall commence the recruitment process.

3.4 Newly Created or Restructured Positions:

Authority shall be vested in the Board to consider request for the activation of a newly created or restructured position.

- a) Activation of a position shall be allowed by the submission of an Employment Authorization Form by the Department Manager to the Human Resource Manager.

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- b) Once the need to fill a vacancy has been identified, the Department Manager will submit a motivated recommendation to the Board for the activation of the position.
- c) Internal Advertisements shall be sent via e-mail or other means to all employees by the Human Resource Manager, while external advertisements shall be placed in specified local newspapers.

3.5 Selection Procedure:

- a) The Human Resource Manager shall receive all applications for employment and shall acknowledge receipt thereof in writing. All applicants for employment shall be addressed to the Human Resource Manager.
- b) The Human Resource Manager shall sort all applications that meet the minimum appointment requirements as advertised, and then forward these applications to the Department Manager concerned, together with a full list of all applications received.
- c) The Department Manager, in consultation with the Human Resource Manager, shall draw up the shortlist of candidates for interviewing.
- d) The Human Resource Manager shall invite the short-listed candidates for interviews, and will ultimately make a recommendation to the General Manager for appointment.
- e) SSSSKL shall bear subsistence and travel and travel expenses of short-listed candidates from places other than the duty station. A summary of the interviews shall be prepared by the Human Resource Manager and kept for record purposes.
- f) The Human Resource Manager shall ensure that Reference Check on shortlist candidates is done, and then the employment offer in consultation with the relevant Department Manager to the selected candidate which upon acceptance shall be followed by an appointment letter signed by the General Manager or his/her delegate. Once the selected candidate has accepted the employment offer, the Human Resource Manager shall send regret letters to all the unsuccessful candidates.

3.6 Interview Panel:


The Employment Interview Panel shall be provided with the ground rules of and procedures for interviewing (by the Human Resource Manager) prior to the actual commencement of interviews.

The Panel shall consist of the following persons:

- a) The Department Head concerned
- b) The Human Resource Manager
- c) For Management Positions the General Manager as well as a selected Board Member shall attend

3.7 Age:

SSSSKL shall, in terms of section 42(b) of the Labour Act 1992 Act 6 of 1992), not employ any person under the age of (18) years. Applicants of sixty (58) years and older can only be appointed on approval by the General Manager or by the Board. Employees so appointed can only be appointed in a temporary capacity, and such cannot become members of the pension Fund.

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3.8 Appointment:

All employees will be appointed by the SSSSKL Board of Trustees or as delegated

A. Letter of Appointment:

The formal letter of appointment will bear the signature of the General Manager or HR Manager. The letter shall require the signature of the appointee before the appointment is considered effective.

B. Job Description:

On appointment, an employee shall be given a job description. This shall specify the scope and terms of reference for their position. Each member of employee is expected to devote their time and attention to their work and not engage in activities that may conflict with SSSSKL's interests or negatively affect their performance. Job Descriptions shall be reviewed yearly.

C. Probation:

Any appointment made on SSSSKL shall be subject to a probation period as specified in the letter of appointment. Six months is the end of the probation period, employee's immediate supervisor shall make an appraisal report recommending a confirmation, extension or termination of the employee's services. Where necessary, the probation period may be extended as considered necessary by SSSSKL. An employee who is on probation may have his appointment terminated at any time without notice. In the event of such termination, the employee is paid for the period worked up to the time of termination.

D. Confirmation of appointment:

On recommendation from the immediate supervisor, the General Manager/ HR Manager shall in writing, confirm the appointment.

E. Duration of employment:

Unless otherwise stated, employment for all employees shall be on permanent basis subject to satisfactory completion of the probation period and availability of funds.


Process Monitoring and Measurement

Parameter	Indicator	Methodology of Measurement	Responsibility	Reference record for data
Timely recruitment of required manpower	Plan vs actual	Target date of recruitment vs actual joining date	HR Manager	Manpower requisition, joining report

4. TRAINING AND DEVELOPMENT POLICY

4.1 Introduction:

SSSSKL strongly believes that a well-trained and efficient workforce is crucial for the development of any institution. As such, SSSSKL will always strive to attract and retain employees of the highest caliber.

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To achieve this, SSSSKL will recruit all levels of staff strictly on merit. After their engagement, the trust will further provide them with opportunities to advance skills and professional expertise as well as give them adequate exposure.

4.2 Objectives:


The objectives of the Training and Development Policy are to:

- a) Explicitly communicate the commitment of SSSSKL's Board Members, General Manager, and Management to the training and development of all employees, primarily customized to suit the business philosophy, mission, vision, and Business Plan.
- b) Ensure that training and development are offered to all employees of SSSSKL.
- c) Recognize the fact that training and development can only take place when matching resources are properly planned and budgeted for and be utilized exclusively for training.
- d) Ensure that need-based training and development interventions are equitably distributed to all categories of staff and at all levels of SSSSKL, with particular emphasis on the lower ranks.
- e) Ensuring equal opportunity in training and development within all Department of SSSSKL.
- f) Develop and maintain a pool of suitably qualified staff (technical, administrative and professional) at SSSSKL.
- g) Ensure that provision is made for understudies to replace seasonal employees at the expiry of their contracts.
- h) Create an environment that is conducive to self-development and career advancement of staff members.
- i) Provide financial and supportive assistance, within the confines of available financial resources in terms of Study Loan Fund.
- j) To contribute towards building a national pool of qualified and skilled employees through the provision of Exchange Programs.

4.3 Process and Criteria:

SSSSKL will as much as is possible handle staff training as an integral part of its institutional development. It will endeavor to train its staff continuously and impart them with new skills, through some of the following ways:

- SSSSKL shall from time to time identify training needs; seek funding for executive development, which shall include soft skills, technical skills.
- SSSSKL will also encourage staff to sharpen their existing skills, knowledge through various training and development programs.
- SSSSKL shall find out training needs of all employees, analyze training gap with required skill matrix and arrange training sessions for such training gap.

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Training or development program shall only be offered after a through needs assessment by the Human Resource Manager in consultation with the Department Managers.

SSSSKL places a high premium on human resources training and development. Hence, nominees are obliged to attend courses nominated for and agreed upon. Failure by a nominee to attend a course amount to misconduct and will be dealt with in accordance with the Disciplinary Code.

In the event where a nominee cannot attend a particular course for one or the other reason, such nominee should inform the Human Resource Manager in writing at least five working days before the commencement of the course through his/her supervisor. Shorter notice through the same procedure shall only apply in the event of unforeseen circumstances, such as illness, death, unplanned leave, and the like.

Trainees shall be nominated by their respective immediate supervisors with relevance to their Performance Plan, whereupon the Human Resource Manager will consider such nominations for confirmation, or otherwise.

Employees who have been granted special leave to attend delegations and short courses within and outside Namibia shall be required to submit brief reports thereon, within five (5) working days upon return, to the Human Resource Manager through his/her supervisor who in turn will recommend specific interventions to the General Manager.


4.3.1 Any training identified by individuals shall also be considered.

Where these activities are deemed important by SSSSKL, an equitable selection process of who shall attend the course shall be made and SSSSKL shall fully fund the activity subject to the following conditions:

- The employee must submit a formal application to his supervisor;
- The application shall be forwarded by the supervisor, with his/her recommendations and comments to the Head of Department;
- Approval will thereafter have to be obtained from the Human Resource Manager

4.3.2 The sequential process of the Human Resource Manager shall be to:

- a) determine training and development needs that currently exist and projected future needs threw ensuring that all employees have their own Individual Development Plans which is to be developed by the immediate Supervisor with Reference to Performance Plans;
- b) select and write training and development objectives in order to determine and sequence course contents per employee;
- c) Produce and procure suitable training and development programs.
- d) conduct training and/or co-ordinate training to be provided by others from within or outside the SSSSKL;
- e) Specifically investigate opportunities for exchange visits with local and foreign institutions involved in small and medium development or other professional areas such as MIS, finance and SME research will be available whenever possible.

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4.3.3 Immediate Supervisor's shall be responsible for:

Individual Development Plans for all employees under their supervision, the relevant employee shall be part of this process.

Obtaining a template from the HR Manager who will be of assistance during the process.

4.4 EMPLOYEE DEVELOPMENT

SSSKL's Junior and Senior-Level Leadership Programs combine responsible and important job assignments along with formal and informal studies and trainings. The rotational assignments cut across different aspects of business, providing you with broad and valuable experience in a relatively short amount of time.

4.5 CAREER DEVELOPMENT

4.5.1 OBJECTIVES:

We hope that every employee who joins it would like to make a career with the Company. This places a responsibility on the organization to give careful thought to career aspirations of employees and to create exciting career opportunities for them based on an assessment of their strengths and limitations. By providing career development opportunities, the organization hopes to obtain a higher level of self worth and commitment of every employee. This policy offers guidelines to employees and their superiors on career development. The company expects the employees to be open to new experiences from which they can learn and grow. The policy lays down the expectations from senior level managers about their role in developing careers for their employees and the employee's responsibility in enhancing his/her own career growth. It also outlines the Company's approach to career planning.

4.5.2 ELIGIBILITY & COVERAGE:

Staff, Professionals and Managers.

4.5.3 BELIEFS & GUIDELINES:

When an employee is being recruited at a particular level in the Organization, it should be ensured that he/she is not only suitable for that particular job, but also has potential to rise to more complex jobs in the Organization. While the Company will do its best to formulate career and developmental plans for every employee the employee must also, in his/her own interest, discuss his/her career aspirations, if required, with HR so that they are not overlooked.


High priority is to be given to career development as it is expected to foster greater self-confidence, versatility, accelerated organizational and personal maturity, greater commitment to the Organization and higher morale.

We believe that the performance level and effectiveness differ from person to person and vary from one job to be another for the same person. Hence, through career planning, an attempt is to be made to ensure that every employee is placed where he can give off his best.

4.5.6 Career Paths:

Every employee is to be given the option to choose between two types of career paths.

(i) The path of the expert or specialist.

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Those employees who prefer to remain specialists rather than become managers or supervisors can continue to grow as experts; however, with growth they are expected to do more complex developmental work, in preference to repetitive, simple, routine operations.

(ii) Path of generalists or managers:

Those whose skills lie in supervision and leadership can grow in roles, which require co-ordination between different functions and their management. These jobs will require influencing people and their perspectives, to introduce change and encourage team work for results.

With comparable performance, growth rates of specialists and managers are likely to be comparable.

4.5.7 Rate of Growth:

The rate at which a person grows in the Organization would primarily be a function of his/her performance. However, the rate at which the function or department to which an employee belongs is growing would also have an influence on his/her growth rate. The faster growth rate of colleagues who joined at the same time and level or who passed out of college in the same year would not by themselves justify an equal rate of growth. We consider lateral job growth as important as vertical growth.

4.5.8 Job Rotation:

Job rotation would be a major means for career development. Job rotation would be encouraged for developing perspective, versatility as well as general management skills. Up to the level of a manager, job rotations are likely to be within the same department, but those in levels above Manager are considered to be corporate resources and could get rotated to any department

4.5.9 Role of HR:

HR would actively contribute to career planning and development by studying the employee's performance and potential and by advising the departmental head on job rotation, training etc. It would also counsel the employees. Special attention would be paid to those who show high performance. Improvement plans for those whose performance is unsatisfactory would be drawn up and implemented. Career planning workshops will be conducted from time to time, especially for high performers, to enable them to reflect on their career aspirations, aptitudes and directions.

Career choices will be evaluated and joint action plans between the employee and the organization will be evolved at these workshops.

Career plans and potential of employees would be discussed between HR and the departmental head following the performance appraisal, and could be revised whenever it is felt necessary.

4.6 TRAINING POLICY

4.6.1 OBJECTIVES:

1. To enhance the skill levels / competencies of the employees to meet the business goals.
2. To enhancing employee's skills, techniques and capabilities and ensure optimum potential.


4.6.2 ELIGIBILITY & COVERAGE:

All employees of the organization are eligible for the Technical, techno-commercial & behavioral training.

4.6.3 POLICY:

All employees will be communicated at the beginning of the year the skill gaps and related training programs.

It is the joint responsibility of the HOD & employee to plan their training programs and attend it accordingly.

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4.6.4 PROCEDURE:

1. In the beginning of the month, HR will announce the training calendar for the financial year.
2. On the basis of individual skill mapping, the employees will be communicated their Vital, Essential and desirable training needs.
3. HOD will ensure that, all vital needs are given priority and employees are relieved for the training programs.
4. HR will initiate training evaluation processes along with the HOD.

4.6.5 Operating Authorities:

1. HR Head
2. Supervisor

4.6.6 Operating Procedures

Given below are the procedures for training for all employees. And all queries in difference with this policy is to be addressed to the Local HR head. And his / her decision is final.

On identification of the training needs by the HR, employees will be put through the following training as required.

A. Technical Training:

The employees who are below average in performance will be put through the skill enhancement programme in-house to enable the employees to hone their skills sets and set higher standards in performances.


Employees who have attained optimum skills in a particular section and have shown the potential for multi-skilling will be put through the Training centre to upgrade their existing skills and to acquire new skill sets necessary for multi-skilling.

B. Behavioural Training:

On identification of the Employees behavioural needs, they will be given appropriate training. This training may be in-house by the HR personnel or through outsourced professional faculty, as the need arises.

Given below is a concise list of in-house training that will be provided for employees:

1. Team building
2. Learning styles
3. Mentoring
4. Leadership
5. Time management
6. 5 S
7. Fire safety
8. First Aid
9. Emergency preparedness
10. Environmental awareness

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C. Technical Training Division:

New joiners will be put through this form of training, which will be in-house. This training is conducted to align the fresher to the factory's required skill sets and performance standards. Technical Training is as follows:

- a) Screening test
- b) Understanding the machine
- c) Basic technology knowledge
- d) Simulation training exercise
- e) Skill enhancement
- f) Productivity enhancement

D. Production evaluation

All employees who undergo training will be evaluated before and after their training to check the employees and the training modules effectiveness. This detail will be recorded in their respective personnel dossiers.

The employees are evaluated to ascertain their productivity and their skill potential so that they can be graded based on their performance. If after the training period the employee has not yet met the minimum requirement to be on the production line but has potential to do so, then such employees will be given a further training for a 15 days period. Once after the training the employee will be put on the production line after meeting the minimum requirements.

4.7 DEALING WITH LOW PERFORMERS

4.7.1 Objective:

It is very important for the organization to identify the performers & non-performers on regular basis. To make it happen, a sound Performance Appraisal process is expected to give data.

4.7.2 Preamble:


In organization design, the profiles are defined as managerial profile & doer profiles. As per the hierarchical designation & positions, each profile is expected to perform and discharge duties specified by the management.

4.7.3 Procedure:

In the organization, those who do not meet the performance targets consecutively, normally falls in this category. HR will give personal attention to this category and will ensure that, all employees in this category are given sufficient time.

These employees can be dealt like,

- a. Counseling to work towards meeting the organization / departmental goals
- b. Give more clarity on their performance expectations
- c. Identify the learning gaps and arrange for training programs.
- d. Check whether there is a mismatch in the present job.

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5. PERFORMANCE MANAGEMENT POLICY

5.1 Introduction:

Decisions concerning career development, promotion, succession planning and compensation depend on information provided through effective performance management. The SSSSKL will therefore ensure that all new employees understand the requirements of their jobs as well as the expected results. The actual assessment of how well they have done will be undertaken at the end of each year through a comprehensive appraisal of their performance in relation to these expectations.

5.2 Objectives:

Staff appraisal is often viewed as a punitive measure where most junior staff looks it as a time when their seniors would get even with them for whatever reason. SSSSKL will therefore seek first to promote a healthy understanding of this process in terms of being an avenue to promote dialogue between staff and management as well as a system through which specific needs of staff are identified and brought into the limelight. Specifically, the appraisal process at SSSSKL will be undertaken to:

- a) review performance of the staff against assigned tasks and responsibility
- b) identify the areas of weaknesses and provide positive feedback to the staff on their individual and team performance;
- c) identify the areas of strength in each staff
- d) identify staff who can be developed to take up increased responsibilities
- e) identify the staff training needs
- f) create a basis for rewarding superior performance
- g) plan for the following year


5.3 Responsibilities of Managers/Supervisors:

Managers/Supervisors are responsible for conducting substantive discussions and taking conclusive performance-related actions. These actions include selecting or

- a) developing performance plans,
- b) communicating outcomes and expectations to employees,
- c) establishing employees' development plans,
- d) providing performance-related feedback to employees at prescribed intervals,
- e) preparing end-of-cycle summaries,
- f) And discussing the summaries with employees.

5.4 The Performance Management Process:

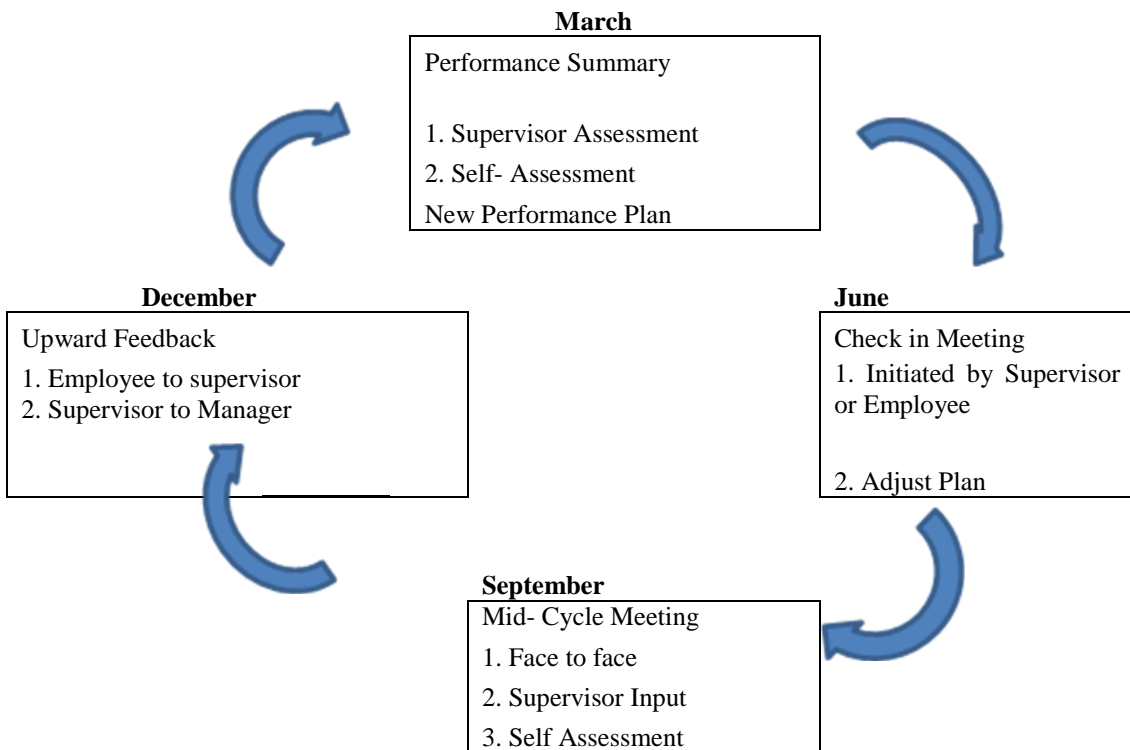
- 5.4.1 Performance Planning
- 5.4.2 Monitoring
- 5.4.3 Performance Summary
- 5.4.4 Recognition

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5.4.1 PERFORMANCE PLANNING:

A Performance Plan is a written document between an employee (and team) and his or her manager. The performance plan describes what has to be done during the performance cycle, how well it has to be done, and how the accomplishment will be measured. This part of the plan is based primarily on the goals of SSSSKL and the employee's job description.

Performance Management shall be a continuous process with the following timeframes attached:




MARCH:

Performance Summary from previous year

- a) Supervisor provides a consolidation of employee accomplishments throughout the performance cycle, synopsis of formal feedback received during the performance cycle, and highlights of developmental activities undertaken during the period.
- b) Employee provides a self-assessment of accomplishments (outcomes/expectations and developmental activities) completed during the performance cycle.
 - Description of Actual Performance
 - Major Accomplishments - Identify the most important accomplishments achieved during this performance cycle that applies directly to you position.
 - Other Accomplishments - Identify other accomplishments achieved during this performance cycle.

Performance Plan jointly developed for upcoming year

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- a) Supervisor provides work assigned to Department, work assigned to employee, goals/objectives for Department (cascaded down from organizational goals), and any other needs for accomplishment of departments goals/objectives.
- b) Employee provides own objectives for accomplishment of SSSSKL/Departments goals/objectives and individual developmental needs, if any, for upcoming performance cycle.
- c) Required resources to accomplish the assigned work and objectives that are identified within the jointly developed performance plan.

JUNE:

Check-in meeting (Requested by employee)

- a) Check the performance plan for reasonableness against the plan based on 3 months experience, modify if necessary
- b) Employee informs supervisor of resource needs, if any, required to accomplish agreed upon performance plan
 - Examples: Skill set; time; equipment etc.

DECEMBER:

Mid cycle meeting

- a) Formal feedback session
- b) Employees provide self assessment to supplement supervisors' assessment

MARCH:

- a) Employees supply upward feedback, through an anonymous automated system, which goes directly to the supervisor. Form to be completed attached as Annexure
- b) Supervisors supply upward feedback to their managers through an automated system, anonymity determined by supervisors. Form to be completed attached as Annexure


Requirements for Temporary Positions: A performance plan should be established in all cases where the duration of the temporary employee is uncertain. A new performance plan **must** be established when an employee is scheduled to work for 90 days or longer.

5.4.2 MONITORING:

Monitoring is the process of making accurate and objective performance observations based on the outcomes and expectations contained in an employee's performance plan. In addition, the manager will provide timely feedback throughout the performance cycle to encourage employees to maximize their performance. Performance observations will be provided from multiple sources.

Employee's role: Provide self-evaluation twice per performance cycle, and provide upward feedback once during the performance cycle. If applicable, provide performance input as a peer, customer, or key members of cross functional teams/interface groups.

Manager's role: Collect data, provide feedback, make performance observations, document results, and manage overall process.

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Application to teams: When using this process in a team setting, the following need to be considered:

- a) Team has a strong peer input feedback mechanism in place.
- b) Each team member must be willing to supply self-evaluation of the team's performance.

Managing unacceptable performance: If at any time during the performance cycle the employee is not performing to the level agreed upon in the performance plan, the employee is placed into an opportunity to demonstrate performance, or any other applicable performance improving tool in an attempt to bring the employee's performance up to an acceptable level.

5.4.3 PERFORMANCE SUMMARY:

The performance summary is a consolidation, discussion, and acknowledgement of employee accomplishments and effectiveness throughout the performance cycle.

- a) Provides an assessment of actual achievements based on the outcomes and expectations contained in the performance plan.
- b) Includes a synopsis of formal feedback received during the performance cycle.
- c) Contains highlights of developmental activities undertaken during the period.

The performance summary represents the review of record for the performance cycle.

A. Purpose:

Performance summaries **may** be used for:

- a) Identifying developmental needs.
- b) Determining compliance with the agreed upon performance plan.
- c) Analyzing individual [or team] performance.
- d) Basis for individual recognition.
- e) Basis for team acknowledgement/recognition.
- f) A point of consolidation of feedback from the performance cycle.


Performance summaries **may not** be used for:

- a) Merit promotion eligibility.
- b) Reduction in force.
- c) Automatic triggers for increases to base pay and/or cash awards.

B. Frequency: Typically the performance summary is an annual process of documentation and discussion between a manager and an employee. This discussion shall occur within 30 days from the end of the performance cycle.

There are several conditions under which a performance summary may occur more frequently. They include instances where

- a) The performance plan represents a cycle shorter than a year.

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- b) The performance plan changes significantly during the year.
- c) An employee transfers to another job, department, section, team, division, etc.
- d) An employee is on a temporarily for a minimum of 90 days.
- e) An employee's manager transfers to another job within or leave the SSSSKL.

C. Time under performance plan: An employee must be in his or her current performance plan for 90 days to receive a performance summary. This 90-day requirement also applies to details. If a performance cycle includes a detail of 90 days or greater, the performance summary for the performance cycle may include the performance summary for the detail period.

D. Documentation: A narrative discussion of the individual performance compared to the outcome(s)/expectations(s) as spelled out in the performance plan. The summary is a narrative describing employee accomplishments of the agreed upon outcomes/expectations in the performance plan. The relationship of the narrative and the plan represents the employees' annual performance review.

E. Recordkeeping requirements: The performance summary of record shall be maintained in the Personnel File.

F. Relationship to performance based pay systems: The performance summary may be used as a factor in determining eligibility for a pay increase in a performance based pay system.

G. Application to Teams: Teams can receive performance summaries; however, the accomplishments of a team cannot be a primary or secondary outcome of an individual's performance plan. Additionally, a team performance summary does not eliminate the requirement for an individual performance summary.


H. Requirements for departing/transferring managers: A departing/transferring manager should provide a performance summary for each of his or her employees before leaving. In a situation where a manager leaves his or her position within the last 90 days of a performance cycle, the departing/transferring manager should close out the current performance cycle by completing and providing a performance summary for each of his or her employees. As a result, the new performance cycle may cover up to 15 months.

5.4.4 RECOGNITION:

A means of acknowledging employees for sustained outstanding performance/service and providing incentives to continue provide outstanding performance/service. Recognition should be linked to performance outcomes. For example, employees should be recognized/rewarded for being results-oriented and customer-focused. Other contributing factors could be increased morale, contribution to team cohesiveness, contribution to the success of the performance management process, etc. Recognition does not necessarily have to be linked to a bonus system, but can be for e.g.; time off, chance to attend conferences of choice etc.

5.5 COMPLIANCE:

At an appropriate time during the performance cycle, upward feedback will be used to assess manager compliance in supplying performance feedback based on the agreed upon outcomes/expectations found within the managerial performance plan. Since the feedback is for self-development, it shall be confidential between the employee and his or her manager.

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6. COMPENSATION AND BENEFITS POLICY

6.1 OBJECTIVES:

Compensation is an important concern of the employee and hence the company would like to pay competitive salaries. We believe that people select a Company not only for monetary gains and higher designations, but also for job satisfaction, growth potential, the values of the Company and its culture. This policy outlines the elements, which go into compensation and benefits packages of employees and the eligibility criteria applicable.

6.2 ELIGIBILITY:


All Employees

6.3 POLICY AND PROCEDURE:

1. As good corporate citizens, we would like to operate within the statutory limits of compensation/benefits operating in the country.
2. We will review compensation packages from time to time. The review will be based on region-cum-industry practice, on the functional specialization requirements, the market, cost of living index, and the capacity to pay-which is intrinsically dependent on the profits generated.
3. Salaries and grade changes would be based on past performance, responsibility level, experience, etc. and as such will be as person specific as possible. At the same time, care will be taken to ensure reasonable parity across departments and across the organization. While recruiting a person, the salary and grade offered will be based on comparison with majority of employees of his category and background in the Company and the individual's qualifications and experience.
4. All salary components paid on monthly basis will be subject to full attendance basis in a month, except for HRA which will be paid without proportionate deduction for brief periods of authorized leave of absence on without pay basis also. Presently such components qualifying for pro-rata payment to attended days are:

Currently these are our components depending on the profile of the employee

Basic
HRA
Conveyance Allowance
Education Allowance
Special Allowance
LTA
Medical Allowance
PF
Bonus
Gratuity
Additional Allowance

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6.4 REMUNERATION COMPONENTS:

The Compensation package will be reckoned on gross stack up basis, and broadly consists of the following components:

1. Basic Salary:

- Each employee is placed at a basic salary on a given grade,
- Revision in basic salary will be a function of performance, criticality of job, experience, qualification and market value. Basic salary shall always be rounded off to the nearest "10".

2. House Rent Allowance:

We pay house rent allowance along with monthly salary and the same is linked to Basic Salary.

3. Conveyance Allowance:

This is a monthly payment meant to facilitate job effectiveness of the employees, and convenience of commuting between residence & office.

4. Education Allowance:

This is a monthly allowance, and is tax-deductible.

5. Medical Allowance: (Applicable as per Appointment Letter Only)

All confirmed employees are eligible for Medical allowance. This is payable to the employees at the end of financial year. This is applicable to employees not covered under ESI benefit.

6. Medical Allowance / Reimbursement Scheme:

- Our medical reimbursement scheme provides for reimbursement of expenses at actual up to a maximum limit mentioned in appointment letter / increment letter. Employees not covered by ESIC / WC ACT are entitled to this benefit.

Reimbursement may be claimed for hospitalization / domiciliary treatment, consultation fees, drug store bills etc.

Procedure:

- The reimbursement is paid along with the salary of the month in which bills are submitted at the end of the year. Satisfying income tax authority is solely the responsibility of the individual.
- Those on probation, may claim reimbursement of their medical expenses during the first quarter after confirmation, and hence are advised to retain their medical bills/receipts and prescriptions from date of joining for submission after confirmation.

Coverage:

The employee, spouse, dependent children and dependent parents of the employee.


If both, husband and wife are working in the company, the entitlement will be determined individually. However, reimbursement of a given expense can be claimed by only one.

7. Leave Travel Assistance :(Applicable as per Appointment Letter Only)

All confirmed employees are eligible to claim LTA. This is meant to be assistance in the form of a subsidy on travel, when an employee and his family proceed on a holiday.

Employees desirous of claiming LTA exemption will be required to:

- Fill up the form in all respects
- Will have to avail a minimum three days of Earned Leave.

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- Each claim should be accompanied with self-attested Xerox copies of relevant tickets/bills/receipts.
- The claim form should be certified by the concerned muster in-charge in confirmation of leave availed.
- Employees have to mention applicable fare (as explained in the Income Tax Act) for farthest place of travel.
- Employees have to submit the duly completed and verified form to Salary Section within 15 days of completion of travel and in any case latest by 10th March. After 10th March, the Company will consider no exemption and the employees will have to claim the same directly in their tax returns.
- Only on fulfillment of all above conditions, Company will allow permissible exemption of LTA and any balance (non exempted) amount will be taxed in the normal course.
- Please note that in case, the Income Tax Department raises any queries/ asks for any further clarifications/ proofs in respect of LTA exemptions, it will be solely the responsibility of the employee concerned to prove his case to them.
- In case of employees not furnishing the claim form, LTA will be treated as taxable as is being done at present. The 4-year tax block has started in 2002 (current block is from year 2009 to 2012). Those who wish to claim LTA exemption against travelling expenses incurred after 1st April 2009 should fill up the LTA forms and send it to Salary Section immediately.

8. Bonus:

The company policy on Bonus operates within the framework and provisions of the Bonus Act and amendments there under.

The eligible employees are paid bonus as per the percentage declared every year on a Basic salary.

9. Provident Fund and Employee Pension Scheme:

All employees who join the company on the rolls become members of PF from the date of joining. This is a contributory scheme. Both the employee and the Company contribute to this fund. This is a deferred/terminal benefit, and forms part of the compensation package, and part of the total cost to the Company.

The Scheme: The present scheme is as per the PF Act and Rules there under. We come under the unexempted category, i.e. under the Government PF Scheme. As our registered office and head office are located in Maharashtra, irrespective of the place of posting of the employee, the PF scheme is administered by The Sub Regional PF Commissioner. All communication pertaining to PF transactions/grievances should be addressed to the PF Office under advice to HR Department in Pune.


Contribution: As per the latest rules, the Company and the employee make equal contributions of 13.16% of the salary (Basic), of Rs. 15000/- whichever is less.

The opening credit balance in a member's account attracts interest, at rates declared from time to time.

A member may withdraw an advance from his PF balance for various needs. The details of the withdrawal scheme will be available from our HR Department.

Transfer of PF Account: Employees coming from other organizations are required to declare their previous account number on joining, in the prescribed formats. The transfer of PF amount will not be automatic. Similarly, employees leaving the company will be required to take up the issue with their next employer for transfer of their PF balance to the new Account.

It will be in the interest of the employee to pursue with his previous employer and the concerned Regional PF Commissioner to effect transfer of PF amount to the new account. All correspondence in this regard may be routed through our IR department.

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10. Gratuity:

This is a terminal benefit, and is admissible only on resignation, retirement, or death subject to the following conditions:

- a) Employees are covered under the scheme as per Gratuity Act and amendments there under. An employee who completes 5 years of continuous service in the Company will be eligible to receive gratuity.
- b) Gratuity is payable at the rate of 15 days last drawn salary (Basic) per year of service. For the purpose of calculating gratuity one day's salary is arrived at by dividing a month's salary by 26 days.
- c) A separating employee will not be eligible for gratuity in case of termination resulting from disciplinary action, misconduct, theft, fraud, etc.
- d) A separating employee is required to submit an application in the prescribed format for claiming gratuity.
- e) Gratuity will be payable only on clearance of dues to the Company as per final settlement statement. This clearance will be jointly issued by Finance and HR Departments.
- f) In case of death of an employee while in service, the legal heir/nominee will be eligible for this payment.

11. Additional Allowance:

This is a monthly payment meant to facilitate job effectiveness of the employees.

6.5 INCREMENT POLICY

6.5.1 OBJECTIVES:

The Company's increment policy is aimed at linking up employee rewards to departmental performance and to distinguish between and differentially reward different levels of individual performance, thereby recognizing and challenging individuals as well as departments to work towards higher performance.

6.5.2 ELIGIBILITY & COVERAGE:


All Staff, Professional and Management employees.

6.5.3 POLICY:

1. We follow the cycle of April – March for implementing Annual revision, covering both normal and merit increments, however the appraisal will be done once in a year.
2. The performance period covered for evaluation is April-March.
3. Each department will complete appraisal discussions with every employee and forward the Performance Ratings of individuals to HR before the due date.
4. Based on the performance, an employee would be rated as per the PMS process:
The ratings given will be for the performance during the period under review only.
5. The quantum of merit increment will be as per guidelines from year to year.
6. Cases adjudged 'Under performer' will not be administered any increment.
7. Promotions undoubtedly will also be a function of performance rating and is not subject to any percentage ceiling.
8. Salary revisions and promotions for levels up to and including L10 grade employees will be jointly decided by the Departmental Head and General Manager. Promotions in Managerial grades will be done with the approval of MD and General Manager only.

7. ATTENDANCE, LEAVE, C-OFF POLICY

7.1 ATTENDANCE POLICY:

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7.1.1 ATTENDANCE PROCEDURE:

Attendance for EMPLOYEES will be maintained through the Biometric Attendance system.

Each EMPLOYEE will be allotted the Employee ID.

The Security Guard will circle the date in the Attendance card with red color ink for those EMPLOYEES entering the premises after 8.30 am (or other designated time) and there after shall give it to the HR Manager to place it in the “IN BOARD”.

It is also the responsibility of the Security Guard to check that as and when the fourth occasion of such late comings in a month arises to refuse entry for such EMPLOYEE who is late at the fourth occasion and thereafter.

It is also the responsibility of the HRM Department to ensure that the Security Guard is following this system strictly. No EMPLOYEE shall be allowed to enter the premises who so ever is late after 60 minutes.

As mentioned above, HRM Department shall mark the attendance of the concerned EMPLOYEE in the card as well as in the Muster Roll on the same day after counter checking the work allotment register maintained at the shop floor.

The HRM Department shall initial the work allotment register on daily basis and put the date on the bottom of the attendance register. Any discrepancy identified during this process should be highlighted on the same day to the Production In-charge as well as security man and corrective action be taken. Likewise, he would mark the attendance card for night shift purpose in the similar process.

It is the responsibility of the HRM Department that they should make all possible efforts and encourages the EMPLOYEE to sort out the queries raised by the EMPLOYEE on account of any discrepancy in the attendance.

It is also the responsibility of the HRM Department to have surprise check that the attendance is initialed by the concerned EMPLOYEE and not by proxy.

It is the responsibility of the HRM Department that while preparing the Pay Roll, they will reconcile the data of the attendance card and the muster roll at the end of the month.

7.1.2 LATE COMING:


Employees reporting Time is 8.30 am (or other designated time) in the Company. Reporting after 8.45 am will treat as late mark. Attendance system will treat such entries as late comer.

At the end of the month while preparing the Pay Roll, the HRM Department shall reconcile data from the records.

Employees coming after 8:30 a.m. (or other designated time) will also sign in the attendance register.

Late comings three times in a month up to the maximum of ½ (half) an hour is permitted. Any late coming beyond three times in a month will be treated as absence for which ½ day leave will be deducted if due, otherwise salary will be deducted.

It is the responsibility of the staff to have their attendance completes to earn salary for that month.

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7.1.3 OUT DOOR DUTY:

Any employee going on official duty outside shall get permission from his immediate superior mentioning the dates on which he will be out and get it authorized by his sanctioning authority and submit to HRM Department for attendance purpose.

Employees proceeding on duty within city will try to reach their places of work back if the work is completed before the close of working hours and this opportunity should not be converted for reducing working hours.

As and when the employee comes back to the office, it is his responsibility to fill up time of returning in the Employee out going register as well as to wipe off his name from the movement board before proceeding to his work place.

Employee going out during the working hours for whatever purpose is also required to complete his particulars in the Employee out Going Register lying with the security at the gate.

Making an entry on the board or in the Employee out Going Register does not substitute for the required practice of keeping the immediate superior informed before leaving the work place.

The employee should give OD (for going out for official job/out of station duty/or on duty to other units for whole day) slip to the HRM Department on prescribed format on the previous working day duly signed by his/her immediate superior.

If, due to some reason, the employee is not able to give OD slip on previous day he should give OD slip duly approved immediately, when he reports on duty.

Employees, who are out for whole day for official work, need not sign in the Muster Roll / need not punch their card.


The HRM Department shall mark with red ink as (/) if the employee does not report for duty up to 9.00 am and no OD / Leave application duly sanctioned has been received. The concerned employee whosoever is on leave (Casual Leave/Sick Leave/Earn Leave/OD) shall get his / her leave / OD slip, whichever is applicable, sanctioned and submit the same on the very next day or before processing payroll, otherwise he / she will be marked absent.

If an employee has reported on duty and does not get his leave / OD Slip sanctioned either very next or before processing of payroll for that month, shall be marked absent.

It is expected that all kinds of leaves should have a prior approval in writing from the appropriate authorities.

It is the responsibility of the employee to get his leave sanctioned from the authorized person and submits the same to HRM Department.

The HRM Department shall treat all absence from duty unless authorized leave / OD slip is obtained within time frame as mentioned above.

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7.1.4 OUT DOOR DUTY PROCEDURE:

Any EMPLOYEE going out on duty is required to get his Gate Pass approved by getting the signature on the same from the authorized signatory.

7.2 LEAVE POLICY FOR PERMANENT EMPLOYEES:

7.2.1 PURPOSE:

To define the Company's policy on leave entitlement and availment to all the EMPLOYEES.

To enable EMPLOYEES to take rest/recover in case of illness.

To enable EMPLOYEES to take leave in case of emergency/personal reasons.

To enable EMPLOYEES to take vacations.

7.2.2 POLICY:

All leave entitlements coincide with and determined for the CALENDER YEAR from 1st January to 31st December.

EMPLOYEES joining/leaving at any point during this period would get pro-rata leave.

Individual EMPLOYEE's leave record shall be maintained by the HRM Department.

7.2.3 ENTITLEMENT:

A. CAUSAL LEAVE:

All the EMPLOYEES shall be entitled for 8 days Casual Leaves (CL) in a calendar year.

EMPLOYEES joining between 1st January to 15th January shall be eligible for full entitlement of Casual Leaves for that year.

EMPLOYEES joining after 15th January will be credited CL entitlement as follows.


CL not availed during the year cannot be accumulated with subsequent year and the unavailed CL shall not be encashed.

Maximum of 2 days CL can be availed in one spell and a month.

Not less than 0.5-day CL can be applied at any time

All holidays/weekly off falling in between a spell of CL shall not be counted as CL.

Holidays/weekly off days, however, can be suffixed or prefixed to a spell of CL.

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CL should be applied at least 24 hours in advance in writing. However, in case of extreme circumstances when person is unable to apply for CL in advance, leave card duly approved by superior for the same must be given immediately on resuming duty.

B. SICK LEAVE:

All employees excluding employees covered under ESI/ WC shall be entitled to 7 days of SL in a year. Employees joining any time during the leave year will have pro-rata SL for that year of joining as per the details given above similar to CL.

SL not availed during the year cannot be accumulated with subsequent year and the unavailed SL shall not be encashed.

All holidays/weekly off days falling in between a spell of SL shall be counted as SL.

Any employee falling sick shall arrange to send information to his superior at the earliest but not later than 24 hours of his absence on account of SL and to apply for the same in writing immediately on resuming duty.

In case of sickness for more than 3 days, concerned employee must produce a medical certificate either from a Doctor or from a Registered Medical Practitioner.

On account of increment or by any other reason, if they come out of the preview of ESI, shall immediately be eligible for Sick Leave on pro-rata basis.

C. EARNED LEAVE:

All EMPLOYEES, who have worked for a period of 240 days or more in a calendar year, shall be allowed EL in the subsequent year at the rate of 1 day for every 18.25 days worked as per the factory's act 1947. For computing 240 days, actual working days + Earned leaves availed shall be considered.

EL can be accumulated up to 60 days and the EL in excess of 60 days lying to his credit shall be encashed and payment shall be made to him along with his wages payable in the month of February of the subsequent year.

EL cannot be clubbed with CL.

There is no time restriction for availing EL in a year, but it should not be less than 1 day for each duration/spell.


EMPLOYEES joining during leave year shall be credited EL in the next year on pro-rata basis. Similarly employees leaving the service shall be given a credit of EL on pro-rata basis.

Weekly off days/ holidays falling within the leave period will not be counted as EL.

For availing EL, an EMPLOYEE would be required to apply in writing at least 7 days before the date on which EMPLOYEE wishes the leave to commence.

7.2.4 GENERAL POINTS:

All EMPLOYEES have been allotted a leave Register which shall be retained / maintained by the HRM Department.

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EMPLOYEES availing leave shall obtain his leave card form the HRM Department, shall fill up the respective column for getting his leave sanctioned and forward the same to the sanctioning authority.

All the leaves shall be sanctioned by immediate superior or HOD.

Once leave card has been issued, it is the responsibility of the concerned employee to ensure that it is returned back to HRM Department. The HRM Department shall see that the leave card is received back within 24 hours of its issue.

HRM Department is required to mark leave (CL/SL/LWP/EL) in the Attendance Register with the approved leave that they have received from the person concerned.

Every Department should give its consolidated next year leave plan by 15th January every year.

EMPLOYEES going on leave, not having any leave to his / her credit should apply for LWP and get it approved otherwise such leave will be treated as absenteeism.

Any deviation to the above policy shall have to be approved by Head of the department and above category of employees.

As and when the EL is encashed to EMPLOYEES, Basic and HRA are to be included.

There is no scheme to sanction maternity benefit or maternity leave to any of the employee except to those who are covered under Employee State Insurance Act and the rules framed there under and entitled to the same under the above said act.

7.2.5 LEAVE CARDS:

a. PURPOSE:

To streamline the system of maintaining leave Register of employees.

b. PROCEDURE:

The company has provided leave cards to each employee.


For each employee a separate card will be prepared.

Leave availed by any employee shall be entered in the leave card as per the leave policy of the Company.

Any employee availing the leave shall obtain the leave card from the HRM Department and get his leave sanctioned from the sanctioning authority as per the policy of the company and shall return the same to HRM Department.

Leave card should be filled in and maintained very neatly.

While preparing the monthly salary, leave card should be checked, the leave without pay or leave with pay be calculated and salary be paid accordingly.

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Every year a new leave card will be issued and the balance should be carried forward in the new leave card and old leave card should be filed in the respective Personal File.

The maintenance, checking, verification and issuing the new leave card will be responsibility of Unit HRM Department.

7.3 COMPENSATORY OFF:

7.3.1 INTRODUCTION:

Individuals at times are called upon to work on holidays and weekly off. The management is desirous of compensating for such extra work and consequently, these rules are being framed.

These rules will facilitate the grant, monitoring and provision of "Compensatory Off" (as applicable)

7.3.2 PURPOSE:

To compensate the employees coming at works on Off days / Holidays.

7.3.3 ELIGIBILITY:

All employees are eligible for Compensatory Off.

7.3.4 COMPUTATION:

On holiday or Weekly off the Compensatory Off will be computed as under:

1. Be actually working for a minimum of 7 hours on a declared holiday.
2. After working for 7 Hours, he will be entitled to total period worked for compensatory off.
3. Eight hours will constitute one full working day.

7.3.4 POLICY:

All Level employees shall be entitled for Compensatory Off.

Employees of all Level working on Off days / Holidays shall be entitled to compensatory off at the discretion of the their department Head, Authorize person.


Employees will maintain their record of compensatory off on the reverse side of the Leave Cards.

On receipt of Leave Card, HRM department will check the "Employee Outgoing Register" for verification of working hours.

Compensatory off should be availed within 3 month from the date of approval. If not availed within the time period of 3 month, the compensatory off shall automatically be lapsed.

For applying compensatory off, employee should have worked for minimum 7 hours on any off day / holiday.

Any deviation in the above can be done by Head only at his sole discretion.

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8. DISCIPLINARY POLICY

8.1 Introduction

- a) This document is an expression of SSSSKL's policy on discipline and a guide to all company employees.
- b) Discipline is a system designed to promote orderly conduct.
- c) Formal disciplinary action should be the final course of action in rectifying employee behavior.
- d) Disciplinary action should be supported through investigation, reasonable evidence of guilt and careful consideration of the circumstances of each case before formal action is taken.
- e) Disciplinary action should always be prompt, fair and firm.
- f) While every attempt has been made to ensure that this Disciplinary Code is applicable to general disciplinary instances in SSSSKL, the requirement for use of discretion within the framework of and in accordance with the spirit of the code may be required.
- g) A successful disciplinary system and climate is dependent on the good judgment, understanding and consistent treatment of the parties involved in disciplinary action.

8.2. Procedure and Documentation

1. Action of supervisor when an alleged offence has been committed or is reported to have been committed


When an offence is alleged to have been committed, the Supervisor concerned will investigate or have the matter investigated, and take any form of the following actions:

- a) Dismiss the case;
- b) Counsel the employee;
- c) Give a verbal warning;
- d) Give a recorded warning;
- e) Initiate a formal disciplinary enquiry;

2. Informal disciplinary action

It is desirable for sound interpersonal relations within SSSSKL that Supervisor where possible resolves disciplinary matters by means of informal disciplinary action. Informal disciplinary action can take the form of either a verbal warning or counseling.

An employee found to have committed an offence of a minor nature should be counseled by the Supervisor, without an entry being made on the employee's personal record. The Supervisor may however, make a record of the counseling session to allow for an assessment of the employee's performance record, should this be necessary at the time, and with the employee's knowledge and understanding thereof, formulate a plan of corrective action.

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During the counseling, the Supervisor should ensure that the employee is made aware of the nature of the offence and the standard of the conduct or performance that will be expected in the future.

3. Procedure for formal complaints

- a) A supervisor handling a formal complaint must investigate the case with the assistance of the Human Resource Manager, where possible, and ensure that the relevant sections of the complaint form are correctly completed within 48 hours of the offence having been committed or the supervisor having been made aware of the fact that an offence has been committed.
- b) A copy of the complaint form should be passed without delay to the Human Resource Manager who will advise whether
- c) The accused should be suspended pending full investigation (if this has not already been done)
- d) Advise the supervisor on whether to continue with a formal complaint
- e) The Complainant and the accused must provide names of all persons who should be regarded as witnesses as their statements will assist in ensuring a fair hearing of a case. Where possible, should there be witnesses who are non-employees, formal statements should be recorded from them as they may be invited to attend the disciplinary hearing.

4. Disciplinary Inquiries


The Human Resource Manager will be responsible for the overall application of the code and should where possible:

- a) Advise and guide all participant on the Disciplinary Code
- b) Ensure that the code is applied fairly and consistently in all cases (procedurally and substantively)
- c) When all documentation pertinent to the matter has been collected, the Human Resource Manager shall serve the papers on the accused and/or his/her representative to allow the employee to fully prepare himself prior to the hearing
- d) The Hearing Chairperson will hear the case within four full working days of the complaint being lodged – only when further investigate is required shall this period be extended
- e) The Human Resource Manager will be responsible for arranging a suitable venue and date for the inquiry, informing all the relevant parties; informing the accused of his/her rights to representation; informing the accused of his/her right to appeal against the decision and arranging for all relevant statements to be taken
- f) The complainant shall be responsible to complete the Complaint form

5. Attendance at the Inquiry

The following persons must be in attendance at any hearing inquiry:

- a) Hearing Chairperson
- b) Complainant
- c) Alleged Offender (accused)

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- d) Representative of alleged offender (if requested by alleged offender)
- e) Witness (as) (as and only when required for the duration of the testimony)
- f) Human Resource Manager.

6. The Hearing/Inquiry

a) The accused should be given at least 48 hours notice in advance of the disciplinary hearing (Notice for Disciplinary hearing), indicating the date, time and venue of the hearing. In addition, the responsible person convening the hearing should advise the accused of his/her right of representation.

b) In the event that the accused alleges that the Hearing Chairperson is implicated in the case and therefore will not be unbiased, the accused may request the appointment of an alternative Hearing Chairperson, giving a full motivation for such a request. The decision whether to appoint another Hearing Chairperson or not rests with the Human Resource Manager. Such requests shall however not be unreasonable withheld.


Duties and Responsibilities of the Hearing Chairperson

The Hearing Chairperson shall be any employee on the same level as the direct supervisor of the Complainant, but not the direct supervisor.


The Hearing Chairperson should not have been privileged to any information pertaining to the inquiry prior to the inquiry.

Ideally the Chairperson of a disciplinary inquiry will be required to follow the guidelines below when performing duties of a presiding official:

- a) Introduce and identify all present, stipulate the purpose and format of proceedings
- b) Ensure that the alleged offender has been given sufficient notification of the inquiry, and that he/she has signed and acknowledged acceptance thereof. Ensure that the alleged offender has understood his/her employee rights in this regard
- c) Establish if witnesses are present and if so inform the hearing that they will be excluded from proceedings once they have led evidence and have been cross questioned
- d) Should it be established that the accused was not informed of his right to representation or that the witnesses are not present, the Hearing Chairperson will adjourn and reschedule the hearing for a later date
- e) Should the accused fail to attend the hearing, the Hearing Chairperson will establish whether the accused was notified of the date, time and venue of the hearing. It will be advisable to re-notify all parties to attend the disciplinary hearing at a later date if notification was not given;
- f) If the accused fails to attend a disciplinary hearing, the Hearing Chairperson should in writing advise the accused of the date, time and venue of the hearing and advise him that should he fail to attend, the hearing will proceed in his absence
- g) Should the accused fail yet again to attend and if no prior notification for his absence was given, he may be deemed to have waived his right to attend the hearing. The Hearing Chairperson will then decide the case in absentia on the facts available and the accused will be informed, in writing, of the outcome

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- h) Having ascertained that the particulars on the complaint form are correct, the Chairperson will inform the accused of the charge(s) against him/her, ascertain his/her understanding thereof and the accused will be asked to plead on the charges
- i) The accused should be permitted to make any further pertinent comments should he/she wish to do so (whether or not he/she has already made a written statement)
- j) According to the plea entered by the accused, the Hearing Chairperson must verify all facts and allegations by questioning the accused, Complainant and any other parties in order to arrive at a decision. Only information provided in the case documentation pertaining the charge in question and statements raised during the inquiry will be used as facts pertaining to the disciplinary inquiry
- k) The Hearing Chairperson will allow the accused, with his/her representative, the opportunity to express opinions on the case
- l) All witnesses should be called to give evidence and to have such evidence examined by the hearing Chairperson, the Complainant and the accused and/or the accuser's representative
- m) If during the course of the hearing, the Hearing Chairperson finds it necessary to obtain further information, the case should be adjourned to allow for further investigation
- n) If the accused wishes further evidence to be submitted, this should be allowed, provided that the Hearing Chairperson is of the opinion that such further evidence could be of relevance
- o) Once the Hearing Chairperson is of the opinion that he/she has gathered sufficient evidence surrounding the case, he/she should request any witness (as) to leave the room
- p) At this stage the Hearing Chairperson may call for a recess during which he/she may liaise with the Human Resource Manager in order to obtain further advice and information
- q) The Hearing Chairperson may call a recess at any stage of the proceedings and may consider any call for a recess by any other party of the inquiry
- r) Once the Hearing Chairperson is satisfied that he/she is in a position to make a decision on the guilt or innocence of the accused, he/she will reconvene the inquiry and inform the accused and his/her representative of his/her findings. The Complainant and Human Resources Official (where possible) should be present when the decision of guilt or innocence is informed
- s) If it is the opinion of the Hearing Chairperson that the accused is not guilty, he will inform him accordingly and the finding "case dismissed" will be entered on the Complainant form and the employee's disciplinary record will be cleared of any reference to the case
- t) Where an employee is found guilty, the Hearing Chairperson will then take note of the offender's record of service, disciplinary record, mitigating and aggravating circumstances, seriousness of the offence, consistency of application and any other circumstances he/she may deem necessary to consider
- u) In all cases, current un-expired disciplinary warnings will be taken into account when deciding on the appropriate action

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v) Depending on the nature and seriousness of the offence, the whole of the employee's disciplinary record may be considered

w) The Hearing Chairperson will then record the penalty on the complaint form and inform the offender of the penalty awarded in terms of **Section** and the reasons for arriving at the decision. The Hearing Chairperson will inform the offender of the period for which the warning will remain on his/her record as a valid entry. The Hearing Chairperson will also inform the offender of his/her right to appeal in terms of Section of this code

x) With regard to corrective action, the Hearing Chairperson will, in liaison with the immediate Supervisor, the employee and/or representative, and the Human Resource Manager; formulate an action plan to address the required change in behavior. The employee will be required to assist in this process and make proposals in this regard. The aim is to ensure that the process of correcting unacceptable behavior is addressed objectively and amicably

y) Request the employee to acknowledge the disciplinary action proposed. Should the employee opt not to sign, a witness should be requested to acknowledge that the details of the inquiry have been communicated to the accused

Recording of Proceedings

a) It is in the interest of SSSSKL and the individual that all proven offences and subsequent disciplinary action be accurately recorded.

b) The Chairperson will ensure that all other required administrative details on the complaint form are completed before forwarding the document to the Human Resource Manager for overall review and control.

c) Statements, Complainant forms and other disciplinary records will be retained by the Human Resource Manager as these may be required even after an employee has left SSSSKL's services.


d) The Human Resource Manager will be responsible for the input of disciplinary penalties on employee's personal files.

8.3 Special Cases

8.3.1 Suspension

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

- Assault/attempted assault
- Desertion
- Sleeping on duty
- Negligent loss, driving, damage or misuse of company property
- Abuse of electronic/data facilities
- Sexual Harassment
- Fighting
- Riotous Behavior
- Alcohol and drug offences

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- Willful loss, damage or misuse of company property
- Theft/Unauthorized possession of company property
- Breach of Trust
- Offences related to dishonesty
- Offences related to Industrial Action
- Any act or omission which intentionally endangers the health or safety of others, or is likely to cause damage to Company property
- Interference with disciplinary and/or grievance investigations
- Abusive or provocative language (when it is likely to cause a disturbance)
- Insubordination (if the situation shows signs of getting out of control)
- Persistent refusal to obey instructions.
- In certain instances the Supervisor will recommend that the offender be removed from the work place pending investigation of the case. He/she will take immediate steps to report the matter to his/her immediate Supervisor, who will raise the matter with the GENERAL MANAGER. Irrespective of the outcome, the employee will be paid for days he/she was suspended;
- It is mandatory to liaise with the Human Resource Manager prior to suspending an employee in order to ensure that the suspension is procedurally and substantively fair.

8.3.2 Poor Work Performance

Cases involving substandard or deteriorating work performance are to be treated differently from those regarded as transgressions of misconduct.

The following guidelines should be considered when dealing with such cases. An attempt should be made to resolve alleged poor work performance by means of counseling the individual involved. Where poor the supervisor identifies work performance, the following procedural action should be considered:

- a) Investigate and identify the problem area(s)
- b) Communicate this to the individual concerned, and jointly agree on the appropriate plan of action in order to resolve the matter. If deemed necessary and relevant, norms should be established by arranging appropriate task lists and the time duration allowed for the completion of each task;
- c) Consideration should be given to the appointment of a coach or mentor to assist the employee to improve performance;
- d) Accurately minute the agreed contents of any agreement put in place and provide the Human Resource Manager with a copy for record keeping purposes;
- e) Regular evaluation and follow up on the agreed plan of action should be made;
- f) Should counseling fail to produce the desired improvement, alternative action should be considered in liaison with the Human Resource Manager. Alternative action could include, but is not limited to, termination of the employment contract on the grounds of incapacity, demotion or a transfer to an alternative position. The employee, throughout this process, will be entitled to representation.

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8.3.3 Offences outside normal working hours

SSSSKL reserves the right to take any action it may deem appropriate against employees who are, in the opinion of SSSSKL, guilty of gross misconduct not merely in their working situations. This is particularly so where the nature of the misconduct may affect the employment relationship with any other party. Actions that directly relate to the nature of the business are also liable for disciplinary action.

8.3.4 Court Actions

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

8.4 Classification of Offences:

Offences are classified into five major categories.

- 8.4.1 Absenteeism
- 8.4.2 Offences related to Control at Work
- 8.4.3 Offences relating to indiscipline or disorderly behavior
- 8.4.4 Offences related to dishonesty
- 8.4.5 Industrial Action

8.4.1 Absenteeism:

Absenteeism in the disciplinary context means being absent from work for an entire working shift, or part thereof, without the expressed permission from a direct supervisor.

A sanction of dismissal can apply for the first offence of being absent without permission provided that the employee was absent for three continuous working days without a valid reason.

- a) Absent without leave.
- b) Desertion: Leave the work place without intending ever to return; leave without help or support; abandon; leave without authority or permission.


8.4.2 Offences related to Control at Work

a) Poor Time Keeping and related offences:

- a) Reporting late for work
- b) Leaving work early
- c) Extended or unauthorized breaks during working hours
- d) Persistently committing all or any of the above.

b) Sleeping on duty:

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

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c) Negligent Loss, Driving, Damage or Misuse of Company property:

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

b) Negligent driving; driving a company owned or rented vehicle without due care, whether such an act results in an accident or not.

c) Negligent damage to Company property: any act whereby an employee through carelessness or negligence causes or allows Company property to become damaged.

d) Misuse of Company property: using Company property for a purpose other than that for which it was intended.

d) Unsatisfactory Work Performance:

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

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

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

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

8.4.3 Offences Related to Indiscipline or disorderly behavior.

a) Disobedience and related offences:

a) Refusing to obey an instruction: deliberate refusal to carry out a lawful and/or reasonable instruction given by a person in authority and within the area of his jurisdiction.

b) Failing to obey an instruction: failure to obey a lawful instruction given by a person in authority and within the framework of his/her jurisdiction.


c) Non-compliance with established procedure / standing instructions: failure to follow established procedures.

d) Abuse of electronic / Data facilities: excessive use / abuse of e-mail and communication facilities; storage and/or transmission of material of discriminatory nature; storage and/or transmission of pornographic material; unauthorized monitoring and interception of electronic documentation.

8.4.3.1 Abuse and related offences

a) Abusive Language:

The uttering of any words or the publication of any writing expressing or showing hatred; ridicule or contempt for any person or group of persons.

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The offence became more serious when it is wholly or mainly because of his/her/their nationality, race, colour, ethnic origin, sex, marital status, religion, creed, political opinion, social or economic status, degree of physical or mental ability, sexual orientation or culture.

b) Insubordination:

Insolence towards a superior shown by action or words.

8.4.3.2 Disorderly behaviour and related offences

a) Disorderly behavior:

Indulging in rough or unruly behaviour or practical jokes whether or not such behaviour endangers the safety or health of others or the smooth running of the work place.

b) Threatening violence:

Threatening to do physical injury to any other person.

c) Fighting:

Physical contact between two or more persons, engaging in or inciting a group of persons to indulge in disorderly behaviour or wilfully to damage Company property.

d) Riotous behaviour:

Unruly behaviour between two or more persons, engaging in or inciting a group of persons to indulge in disorderly behaviour or wilfully to damage Company property.

e) Sexual Harassment:

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


f) Discrimination:

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

g) Willful loss, damage or misuse of Company property

Willful loss: any act whereby an employee willfully or deliberately loses or causes Company property to be lost.

Willful damage: any act whereby an employee willfully or deliberately damages, or allows or causes damage to Company property.

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Willful misuse: any act whereby an employee willfully or deliberately misuses Company property.

8.4.5 Offences Related to Dishonesty

Disciplinary cases involving the following offences must be reported to the Human Resource Manager.

a. Bribery or Corruption:

Giving or receiving or attempting to give or receive any bribe or inducing or attempting to induce any person to perform any corrupt act.

b. False Evidence:

Intimately give untrue, erroneous or misleading information verbally or in writing.

c. Forgery and uttering:

Falsifying or changing any documentation with fraudulent intent or attempting to do so.

Uttering or attempting to utter fraudulent or false statements or documents.

d. Misappropriation:

Applying or attempting to apply to a wrong use or for any unauthorized purpose, any funds, assets or property belonging to SSSSKL.

e. Theft of or unauthorized possession of Company property:

Stealing or attempting to deprive SSSSKL permanently of its rightful ownership.

Being in possession or disposing of Company property without due authorization.

f. Fraud:


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

g. Breach of Trust:

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

8.4.5 Industrial Action

A. Intimidation:

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Any act by an employee, whether by himself or in concert with other persons (whether or not such other persons are employees of SSSSKL), to intimidate any employee with the object of compelling him to take part in any strike or other action which interferes with the normal operations of SSSSKL. Intimidation is an offence even if all the procedures for the settlement of the industrial disputes and grievances and the Law have been exhausted.

B. Sabotage:

Any deliberate action by an employee that results in the interference with the normal operations of SSSSKL by damaging any machinery, or equipment or by interrupting any supplies of power, or services necessary to the operations.

C. Illegal Strike/Lockouts:

Participation in any illegal strike action, lockouts, boycott or any other form of work disruption not in accordance with the applicable statute that constitutes a blatant refusal to work. Examples of such action include, inter alia, work-to-rule: overtime ban; go-slow.

Any disciplinary matter referred to in this subsection will not preclude SSSSKL from exercising its common law rights to terminate the employment contract in the case of illegal industrial action.

8.5 Penalties

Classification of Penalties:

- 8.5.1 Verbal Warning
- 8.5.2 Recorded Warning
- 8.5.3 Severe Warning
- 8.5.4 Final Warning
- 8.5.5 Dismissal
- 8.5.6 Demotion
- 8.5.7 Transfer
- 8.5.8 Alternative Penalty to Dismissal


8.5.1 Verbal Warning:

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

8.5.2 Recorded Warning:

Application: This may be given for a repetition of an offence for which an unrecorded warning has been given, or it may be given for a first offence.

Validity Period: The employee must be informed that the warning will remain in force for a period of **six months**.

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8.5.3 Severe Warning:

Application: Given for a repetition of the same offence or similar offence during a period when a recorded warning is still in effect, or for a first offence of a more serious nature.

Validity Period: The employee must be informed that the warning will remain in force for a period of **nine months**.

8.5.4 Final Warning:

a. Application: Given for a repetition of the same offence or a similar offence during a period when a severe warning is still in effect or depending on the nature thereof, for a first offence of a serious nature. In the case of an employee being found guilty of an offence of a dissimilar nature within the prescribed period, the hearing official may, at his discretion, issue a comprehensive final warning on the understanding that if any offence is committed within the next **12 months**, it will render him liable for dismissal.

b. Validity Period: A final warning is effective for a period of twelve months. The employee is advised in writing by the official hearing the case of the period applicable and reminded that a repetition of the offence or the committing of any similar serious offence within the prescribed period will render him liable for dismissal. A copy of the notice shall be forwarded to the Human Resources Department.

8.5.5 Dismissal:

a. Application: Dismissal is the final sanction and should be used:


- when other forms of disciplinary action have failed;
- when an employee on a final warning commits a serious offence;
- when the offence committed is of such a serious nature that it amounts to a serious breach or repudiation of the employee's contractual obligations;
- in cases relating to dishonesty e.g. theft, fraud or corruption;
- In the case of any employee who is absent from work without permission for a period of three continuous working days or more. In this case the employee will be dismissed in absentia after the third day if no reason for such absence is received. Should the employee return to work after he has already been dismissed, he may request that the case be re-opened?

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

8.5.6 Demotion:

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

8.5.7 Transfer:

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

8.5.8 Alternative Penalty to Dismissal:

A comprehensive final warning may be considered at the discretion of the Hearing Chairperson as an alternative penalty to dismissal in instances where an employee is found guilty of an offence of a dissimilar nature to a valid final warning on his personal record.

The sanctioning of a comprehensive final warning will only be considered in circumstances warranting corrective action and liaison between the Hearing Chairperson and the Human Resource Manager is encouraged before such a penalty is imposed.

A comprehensive final warning will be valid for twelve months from the date of the imposed penalty.

8.6 The Role of the HR Manager:

The maintenance of workplace discipline is strictly a function of line management. Human Resource Manager should be available to assist line management where required. As far as possible, the Human Resource Manager should, in consultation with the official chairing hearing, ensure that disciplinary action taken is procedurally and substantively fair.

The Human Resource Manager should be available to advise and assist all employees on all disciplinary matters.

The Human Resource Manager must not impose penalties, nor hear appeals in respect of own subordinates or immediate Supervisors.


The Human Resource Manager is responsible for:

- Ensuring that the complaint form properly identifies the offence and is otherwise correctly completed
- Ensuring that the alleged offender is aware of the charges against him/her
- Interviewing and taking statements from the Complainant, accused and any witness
- Investigating the domestic circumstances of the alleged offender, when necessary
- Ensuring that all facts are collated marshaled and presented without bias.
- Advising the Complainant, accused, witness (as) and representative of their roles and rights
- Ensuring that documentation pertaining to the hearing is forwarded to the appropriate officials
- Advising the accused and his representatives of progress made for cases that are pending or in recess.

The Human Resource Manager may at his/her discretion recommend that a concluded disciplinary case be reopened in instances where gross non-compliance to the Disciplinary Code is evident.

8.7 The Role of the Representative:

Any employee, against whom formal disciplinary proceedings are held may at his request, be accompanied at the initial and any subsequent hearing by a colleague from the same working section, or in the case of an employee who is represented by a properly constituted consultative committee, by a member of such a committee. An employee who is a Union member may be represented by the appropriate Part-time or Full-

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time Shop Steward, in accordance with the provisions of the Recognition and Procedural Agreement between SSSSKL and Union. Legal representation or representation by non-Company persons during internal Company enquiries is not permitted.

The representative has no right to insist on the employee being accompanied if he does not wish it; that is, a representative will attend a disciplinary hearing only at the request of the employee. He will be invited to comment on the evidence.


The representative may ask question and cross-question during the disciplinary hearing, but may not give evidence during such hearings.

The representative may make submissions to the hearing official on the guilt or otherwise of the accused prior to the hearing official making his finding. He may also make submissions to the hearing officials on the mitigating factors to be considered and on the penalty to be imposed.

Should the representative's comments at the hearing be of such a nature as to warrant re-consideration of certain matters or further investigations, time should be allowed for this and, if necessary, the enquiry recessed.


8.8 Dismissal Procedure

- a) A direct Department Manager may recommend that an employee be dismissed.
- b) For the purpose of the dismissal procedure, a direct Department Manager is defined as an employee graded D-lower or above who has a supervisory link to the employee concerned.
- c) Following a disciplinary hearing outcome being advised to the employee who results in the recommendation for a dismissal and the employee accepts the recommendation; the Hearing Official will refer the case documentation for review to the relevant Manager for the department concerned.
- d) The relevant Manager will endeavor to review the case within forty-eight hours/two working days and endorse or reject the recommendation.
- e) If the recommendation for dismissal is endorsed, the hearing official shall refer the recommendation to the Human Resource Manager who will review the case with the relevant Head of Department.
- f) If the recommendation for dismissal is rejected, the case shall be referred to the Human Resource Manager and the original hearing official.
- g) The relevant Manager may sanction the recommendation in writing, thereby effecting dismissal, or reject it. If the recommendation is rejected, action 8.6 above shall be applied.
- h) The employee shall be notified of the decision verbally by the Hearing Official. If the employee is dismissed, the employee will be notified in writing. This notification shall be signed by the relevant Executive Committee Member.
- i) Every employee has the right to appeal against a decision to dismiss him/her. The appeal procedure will apply as outlined in Section 9.

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8.9 Disciplinary Appeal Procedure

- a. Every employee has the right of appeal against any decision which involves any entry on his/her disciplinary record and which may thus affect his future employment prospects.
- b. Any employee who wished to appeal against the outcome of any disciplinary hearing against him/he must notify the Human Resource Manager in writing within two days of being notified of the outcome of the disciplinary hearing. The right of appeal must be based on one or more of the following appeal grounds.
- i Dispute of Guilt
 - ii Severity of Penalty/Mitigating Factors
 - iii Procedural Inconsistencies
 - iv New Evidence
- c. Appeals against Verbal, Recorded and Severe Warnings in terms of 7.6.2 (i) and (ii) may be referred to the official at the level above the official who originally heard the case. The decision of the Appeal Hearing Official shall be final and no further appeal level shall be available.
- d. Appeals against recommendations for Final Warnings and Dismissals shall be heard by the relevant Executive Committee member. If the sanction was originally imposed by a Manager, the accused may request the Disciplinary Review Committee to review the case.
- e. Appeals in terms of 7.6.2 (iii) shall be reviewed by the Human Resource Manager may refer the case back to the original Hearing Official for further investigation and/or re-hearing, where after the procedure as per 7.6.3 and 7.6.4 above shall apply.
- f. Appeals in terms of 7.6.2 (IV) shall be heard by the original hearing Officer and thereafter in terms of 7.6.3 and 7.6.4. The decision as to whether the grounds of appeal constitute new evidence shall rest with the Human Resource Manager with the employee representative.
- g. The employee shall be present at the appeal hearing and shall be entitled to a representative in terms of Section 6 of the Disciplinary Code, except at the Disciplinary Review Committee level, where the procedure as outlined under 7.6.9 and 7.6.10 shall apply.
- h. The Disciplinary Review Committee shall be chaired by the Operations manager and shall comprise the Human Resource Manager and Senior representatives of other Department. .
- i. When an employee requests that his case be referred to the Disciplinary Review Committee for a review, he may at the same time request that he or his representative be invited to make representation or motivate his grounds of appeal in person. The Disciplinary Review Committee shall however review each case on its own merits and take decisions independently.
- j. The Disciplinary Review Committee shall have the authority to uphold or reduce a penalty imposed by the Head of Department. It will also have the authority to impose a more severe disciplinary action should it be found that the offence committed warranted a more severe penalty. The Disciplinary Review Committee may refer a case back to the Head of Department or the Human Resource Manager for re-hearing or for further investigation.
- k. The decision of the Disciplinary Review Committee will be final and should also be read in conjunction with 7.6.13. The Human Resource Manager shall inform the employee of the decision of the Disciplinary Review

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Committee. In addition, the Chairperson of the Disciplinary Review Committee will notify the employee of the decision, in writing.

l. Should an appeal against dismissal be successful, the employee will be reinstated retrospectively to the date on which his services were terminated and he will be advised in writing to return to work. This also applies where an appeal against a dismissal is reduced to a warning in terms of 7.6.3 (i).

m. In the event of the dismissal being upheld by the Disciplinary Review Committee, the dismissal shall be effective from the date of the employee's services were terminated by the Head of Department. The Chairman of the Disciplinary Review Committee shall inform the employee in writing of the outcome of the Committee's Review.

n. It should be noted that the Disciplinary Review Committee, referred to above, should only have the authority to review disciplinary cases that have been dealt with by Manager.

The schedule of sanctions merely provides a guideline and the following factors shall be considered when arriving at a decision: Disciplinary record, length of service, position of employee, any other mitigating or aggravating circumstances raised at the hearing.

9. GRIEVANCE POLICY


9.1 Introduction

Grievances may be real or imagined, but in either case, it is essential that the grievance is brought to light, discussed and the matter resolved to the satisfaction of all concerned. Failure to do so will only result in the grievance becoming a worsening source of conflict and eventually ending in a far more serious problem.

SSSSKL regards it important that all its employees will have sufficient knowledge of such procedure and easy access to it. To this effect SSSSKL has formulated a grievance procedure, which has as its main objective the speedy resolution of shop floor grievances and thereby eliminating possible and unnecessary causes of conflict.

9.2 Objectives

- a) The Grievance Procedure is aimed at resolving work related grievances within SSSSKL as fairly and as swiftly as possible. Grievances are feelings of injustice or dissatisfaction affecting an employee.
- b) This Procedure is not used for appeals against disciplinary action. Such are to be carried out in accordance with Disciplinary and Appeal Procedure and Code.
- c) This Procedure is neither used for the resolution of collective grievances related to wages or salaries as these form part of the collective bargaining system.
- d) Employees may lodge grievances without fear of victimisation.
- e) Grievances should be resolved at the lowest possible level within SSSSKL.
- f) Employees lodging grievances have the right to be represented by fellow employee of his/her choice.
- g) Records will be kept of all statements and decisions.

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h) Any Union member acting as a witness has the right to be accompanied by a representative of his/her choice.

9.3 Procedure and Guideline

The Grievance Procedure will be implemented as follows:

Step 1 - Immediate Superior

1. In step 1 the employee must discuss his grievance with his immediate superior or the latter's superior in the event of a grievance against an immediate superior.
2. The superior must endeavour to solve the problem within two (2) working days and inform the employee.
3. Should the employee not be satisfied with the outcome, he may proceed to Step 2.

Step 2 - Department Manager

1. The employee completes a grievance form with all relevant details. He may be assisted by the Human Resource Manager in completing the form. The form is handed to the Department Manager.
2. The Department Manager shall endeavour to solve the problem within two (2) working days and inform the employee.
3. Should the employee not be satisfied with the outcome, he may proceed to step 3.

Step 3 - Grievance Hearing

1. The matter is referred to the General Manager by handing him the grievance form together with any other further relevant written information.
2. The GENERAL MANAGER shall convene a grievance hearing and attempt to resolve the matter within a period of ten (10) working days. His decision shall be final.

Procedure to be followed by a Group of Employees


If a grievance to be raised affects not one employee, but a group then a spokesman for the Group, accompanied (if he so wishes) by a delegation of not more than ten (10) of the employees concerned, should proceed with Step 2 as for an individual grievance.

10. TERMINATION OF EMPLOYMENT POLICY

10.1 Introduction

Subject to the Provisions of the Employment Act, the services of an employee may be terminated as hereunder:

10.2 Termination by Notice

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An employee who has given notice to resign will be required to liquidate all loans with SSSSKL (where applicable) before their last month's dues is paid to them.

Notice Period

At least one working day notice of termination of service will be given during the first uninterrupted period of four weeks of employment.

At least two-calendar weeks' notice of termination of service will be given after the expiration of the first four weeks of uninterrupted employment and before the expiration of 12 months of employment.

During the period of the employee's probation, either the employee or SSSSKL may give the other party two calendar weeks' written notice (should the employee be a monthly paid employee) to terminate the contract of employment. Thereafter, such notice periods shall be extended to one month.

At least one month notice of termination of service will be given after any uninterrupted period of employment of 12 months or longer.

During the first uninterrupted period of four weeks of employment notice can be given on any working day.

The employee's service with SSSSKL shall terminate on the day on which the notice of termination of service expires.

After the expiration of the first four weeks of uninterrupted employment and before the expiration of 12 months of employment.

To be given on or before the usual payday and shall run from the day after such payday.

After any uninterrupted period of employment of 12 months or longer - to be given on or before the first day of a month and shall run from such first day.

A period of notice given by either party in terms of the above may not run concurrently with annual leave, Sick leave or maternity leave.

An employee who has given notice to resign will be required to liquidate all loans with SSSSKL (where applicable) before their last month's dues is paid to them.


The aforementioned stipulations may be deviated from only when there are compelling reasons for doing so and the supervisor concerned to that effect makes a recommendation.

10.3 Retirement

Age: The normal retirement age shall be 58 years. An extension of appointment beyond this age requires authority from the Board of Trustees.

Medical grounds: SSSSKL may, on the basis of a medical opinion from a qualified medical practitioner, call upon an employee to retire on medical grounds.

10.4 Death of Staff member

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In the event of the death of a staff member, SSSSKL shall notify the labour office in the prescribed form

All wages and terminal benefits due shall be paid to the next of kin, as specified in the Personal Data Form.

SSSSKL will assist the family by consulting with the Social Security Commission and the Pension Institution with a view to meeting part of the burial costs of the deceased SSSSKL staff member

10.5 Certificate of Service

Certificate of Service shall be issued to each staff member every five years of successful service or upon resignation on request. This certificate is neither a reference nor a statement of the staff performance.

In addition to the Certificate of Service the General Manager / HR Manager may therefore authorize the issuance of any other testimonials

10.6 Discharge Form

All employees leaving SSSSKL employment will be required to submit duly filled discharge form to the Finance and Administration Department before their dues is paid to them.

11. RETRENCHMENT POLICY

11.1 Introduction

SSSSKL may terminate a staff member's appointment after giving a month's notice, if there are insufficient funds to carry forward the program or when the program comes to an end or no other assignment is available.


The employee shall be entitled to her/his terminal benefits plus any other compensation provided for by the Labour Act section on Retrenchment SSSSKL strives to provide guidelines for handling all retrenchments sensitively, understanding the psychological and social effects, as well as the industrial relations implications. It intends to ensure that a uniform procedure is utilized throughout SSSSKL.

Termination of employment due to retrenchment must be handled strictly according to the stipulations contained in Part VI of the Labour Act, 1992 (Act 6 of 1992), or as otherwise mutually agreed upon between SSSSKL and the recognized Trade Union. SSSSKL's Management or its delegate shall only grant approval for such service termination

11.2 Objectives

SSSSKL is committed to full employment for all its employees at all times. However, in the event of unforeseen economic and changes to SSSSKL, certain employees may become redundant and need to be retrenched. In the unlikely event of this occurring, the following will apply:

- a. All possible cost-saving measures to avoid the retrenchment will be considered.
- b. Retrenched employees will be paid out according to salary and length of service, subject to the Labour Act of 1992.
- c. With the aim of maintaining the principles of equity and fairness within the boundaries of reasonability and legal constraints, the following alternatives to retrenchments are to be explored:

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- Introduction of an embargo on recruitment.
- The cessation of overtime.
- The re-deployment of staff (with training, if relevant and practical) upwards,
- Sideways and downwards.
- The option of voluntary early retirement.
- "Laying-off" of employees, where such employees' services are suspended for
- A specified time, during which their fringe benefits continue, and their service is regarded as continuous, but they do not receive any remuneration. This step will obviously only be taken if SSSSKL can guarantee their jobs after the specified period has expired.
- The implementation of retrenchment on a LIFO (last in, first out) basis, except
- Where there is a need to retain specialist skills.
- A possible reduction in remuneration.


11.3 Consultation

a) Although retrenchment and redundancy falls largely within the scope of managerial prerogative, there is a requirement that full and formal consultations with affected employees be held prior to the decision to retrench being taken. Action to this extent is set out in the following paragraphs.

b) Should SSSSKL believe that a reduction in the number of its staff members may be necessary, it shall give all staff members who may be affected and their Registered Trade Unions, one month's written notice to the effect that retrenchment is a possibility as well as inform them that alternatives will be considered. The notice will explain:

- The reasons for the proposed reduction in staff.
- The timing.
- The method of selection of employees for retrenchment.
- The alternatives that have been, or are being considered; and the reasons if these alternatives are regarded as impractical.
- Both the categories and number of staff members who may be affected.

c) SSSSKL and affected staff members, and/or their internal representatives, will hold a meeting within one week to endeavour to discuss suitable alternatives to retrenchment e.g. other cost-saving mechanisms, transfers to other divisions/ offices, early retirement. In addition, the selection criteria will usually focus on the retention of necessary skills and attributes. However, other principles, such as LIFO (last in, first out) may also be applied. If necessary, follow-up meetings to discuss suitable alternatives/ selection criteria will be held before SSSSKL makes its final decision. Once the redundancies have been finalised, the

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management of SSSSKL must ensure that unaffected employees are informed of decisions/consultations through a uniform brief, which will be issued by the Human Resources Department.

11.4 Assistance from SSSSKL


SSSSKL will endeavor to assist employees who are retrenched as far as possible, including the following:

- a) Where applicable, SSSSKL uses job placement firms to assist individuals in finding a new job.
- b) Where non-applicable, individuals will receive orientation in job search, in resume writing, interviewing and telephone skills.
- c) Providing a Certificate of Service.
- d) If an employee is able to find alternative employment before the date of retrenchment, SSSSKL may be prepared to release the employee earlier to take up such employment should the employee so desire, with no loss of benefits.
- e) Where applicable, provide Social Security contributor's card, and assist-retrenched employees to obtain their Social Security benefits.
- f) The Department Manager will allow time off to attend interviews for prospective employment opportunities, provided permission shall not be unreasonably withheld.

In determining who will be affected by the reduction in force, management must satisfy itself that its actions are consistent with all applicable laws, particularly those prohibiting discrimination. An employee's eligibility for future employment will be considered as openings arise.

11.5 Retrenchment Procedures

- a) Identify which positions are to be eliminated; don't target individuals, as it would constitute an unfair labour practice.
- b) After making the decision about the extent of the reduction in workforce, consult all key members of management, the consultative committee or any other representative structures of the employees, including Registered Trade Unions.
- c) Provide proof for the necessity of retrenchment and show that all other alternatives have been considered.
- d) Agree on retrenchment packages with the concerned stakeholders.
- e) Apply the criteria to select retrenches. Let Managers evaluate the people in targeted positions against set criteria. If there are multiple incumbents for the position/s that is/are to be eliminated or consolidated, all employees within the same job classification or sphere of work must be compared with each other based on the applicable criteria.
- f) Upper management will review the selection of people to guard against individual biases.
- g) Conduct statistical analysis to determine whether the retrenchments will have a negative impact on equity targets.

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- h) Brief Management and employee representatives of proposed list.
- i) Decide on the final list.
- j) Notify the concerned employees and managers
- k) Prepare forms and pay.
- l) Provide the necessary assistance to those retrenched.
- m) An employee's service will only be terminated if found guilty of an offence, confirmed by a disciplinary hearing and when becoming redundant consequential to reorganisation and not being absorbable in another department of SSSSKL.

12. SEPARATION / EXIT POLICY

12.1 EXIT INTERVIEWS:

12.1.1 OBJECTIVES:

One of the priority approaches of our Strategic Business Plan is Attracting and Retaining people. We believe that while compensation is a great determinant in retaining people, the values of the company, culture, working atmosphere, growth potential, etc. are equally important. In this context the feedback of the separating employee is very valuable for reaffirming some of the Company values, and also for streamlining and strengthening processes that will improve employee satisfaction.


12.1.2 ELIGIBILITY & COVERAGE:

All regular employees as well as Engineer Trainees and Management Trainees

12.1.3 POLICY:

1. No separation order will be issued without an exit interview by HR.
2. Exit interviews will be conducted and recorded in the Exit Interview form.
3. In addition, the separating employee will give his/her feedback in writing in the Exit Interview Form, and will either hand it over or post it to HR directly.
4. All significant and relevant points arising out of the exit interview and feedback by the employee will be communicated to the concerned persons in the organization.
5. If it is felt that the decision of an employee to leave is not in his best interest or the Company's best interest, we will try our best to counsel him/her to change his/her decision.
6. Any out station employee is leaving because of unhappiness with the job or department will be met by one of the members of HR Department.
7. Any employee who leaves after more than 10 years of service will be met by GENERAL MANAGER/CHAIRMAN.

12.1.4 PROCEDURE:

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1. When an employee puts in his resignation or is planning to leave, he should be immediately informed to his HOD and HR Department.
2. An employee should submit his / her resignation to his immediate supervisor in writing. The immediate supervisor should inform the employee and the HR department about his acceptance or rejection in writing within 2 days of submitting his resignation.
3. A representative from Human Resource department will conduct exit interview with the employee who has resigned or plans to resign, and forward the written feedback in the exit interview form to HR. While conducting the interview, we should be sensitive to what is not openly stated, but implied. The reason stated for leaving (for example higher salary) may not be the real reason, and it would be helpful to find out a little more in depth so that we will know what areas need improvement.
4. The Exit interview will be conducted in an unhurried manner, giving full hearing to the leaving employee.
5. The separating employee will be requested to give his/her feedback in the Exit Interview form and hand over it to HR directly.
6. If the employee's supervisor or HR decide to persuade the employee to withdraw his/her resignation, he/she would be asked to either re-confirm the desire to resign within the next two days or withdraw the resignation in writing.
7. If both the employee's supervisor and HR are of the opinion that the resignation should be accepted, the same may be done immediately after the exit interview.
8. Any feedback relevant to any people or department in the organization would be given to them within a week of the exit interview by HR. In case of certain sensitive information, to avoid embarrassment, this feedback will be given only after the employee leaves the Company.
9. The separating employee needs to prepare his / her hand-holding documents according to the format given by HR within a week from his date of resignation. This format will be given to the employee on the day of acceptance of his / her resignation. It is the Department Heads' responsibility to verify and ensure all the documents are satisfactory to him. Also, the separating employee needs to train his / her replacement till his /her relieving date.

12.2 RETRIEVAL OF PROPRIETARY INFORMATION FROM EMPLOYEES


To protect company interest against leakage of information to the market

12.2.1 ELIGIBILITY & COVERAGE:

All permanent / contract departing employees are eligible

12.2.2 POLICY & PROCEDURE:

1. On receipt of resignation, HR will initiate following actions:
 - a. Issue acceptance of resignation letter.
 - b. Disable email account
 - c. Check bond period if any,
 - d. Retrieve tools & tackles given to the employees
 - e. Take possession of soft copies and hard copies of the documents, which are of confidential nature for the organization.

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f. If the employee is holding sensitive position, then communicate to all the concerned internal and external customers, dealers, distributors, about his / her separation.

g. Till the time all above-mentioned activities are performed, HR will not issue relieving letter to the employee.

12.3 FINAL SETTLEMENT:

12.3.1 OBJECTIVES:

1. To facilitate speedier settlement of dues, by both parties, by providing guidelines and time-bound procedures.
2. To ensure that the separating employee has a pleasant experience of exit.

12.3.2 COVERAGE:

All regular employees as well as trainees, temporaries and retainers

12.3.3 POLICY AND PROCEDURE:

- a) The final settlement process will start soon after taking decisions to relieve the employee. Hence, it is necessary to conduct the exit interview without delay. The departmental head will communicate to HR, resignations or plans for separations as soon as he knows it.
- b) As soon as it is decided to relieve an employee, he will be issued an acknowledgement/ notification letter along with a blank clearance form.
- c) Full and final settlement of accounts is a two-way process and requires the involvement and co-operation of the separating employee. It is his responsibility to return to HR the clearance form duly completed within the stipulated date.
- d) It is estimated that the settlement of dues from the Company (other than Bonus /Superannuation and Gratuity) will spread over a minimum period of 30 days from the date of decision on separation. Bonus will be payable only when the Company declares the bonus to all its eligible employees i.e. within 8 months after the closing of the financial year, payment of Superannuation and Gratuity are processed by the LIC and disbursed through the Company and will be effected between 4 to 6 weeks from the date of being relieved.
- e) Process flow-charts of step-by-step checklist for timely final settlement is attached
- f) Separating employees are advised to go through the guidelines of deferred benefits attached
- g) The following documents will not be issued / processed till full and final settlement of accounts is done:
 - i. The relieving Letter
 - ii. Service Certificate
 - iii. Application for Bonus / Incentive / Superannuation / Gratuity
 - iv. Application for transfer of PF / EPS
- h) The company will be obliged to deduct at source income tax as applicable on the various payments, including encashment of unutilized medical balance.

12.3.4 APPROVING AUTHORITY:

1. All matters pertaining to final settlement within the policy guideline will be jointly decided by the HR Manager and General Manager.
2. Any decision beyond the scope of the policy guidelines will be jointly taken by the Head HR and General Manager.