

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

A Science and Technology University In Tanzania



HUMAN RESOURCE POLICY AND PROCEDURES

JUNE 2019

**INTERNATIONAL MEDICAL AND TECHNOLOGICAL
UNIVERSITY**

**HUMAN RESOURCE POLICY
JUNE 2019**

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FOREWORD

The International Medical and Technological University (IMTU) was established in 1997 and received its Charter on 18th August 2010

To conduct its business effectively, IMTU like other organizations needs sound guidelines on managing human resources, which satisfies the University's requirements for quality, accountability, internal control, and compliance with the Tanzania labor laws. In addition to the Charter, the Human Resources Policy (HRP) sets out a broad framework of laws and procedures to ensure that staff are safeguarded and utilized effectively and efficiently, according to the country's laws.. The regulation translates into practical guidance to IMTUs broad policies relating to staff issues.

Compliance with the HRP is compulsory for all staff connected with IMTU. Each member of staff will have access to a copy of the HRP which must be strictly observed. A member of staff who fails to comply without any reasonable cause will have to be subjected to disciplinary action. Any such breach will be notified to the IMTU Council. Inevitably the HRP does not cover every possible situation and it is important that in cases of doubt advice should be sought from the Deputy Vice Chancellor, Planning Finance and Administration. The University Administrative Committee is responsible for maintaining a continuous review of the HRP and advising the IMTU Council of any additions or changes necessary.

Prof. Kagoma S. Mnyika, MD, MSc, PhD
Vice Chancellor

INTRODUCTION

On 21st December 2006, the Government of Tanzania announced through Government Notice No. 07/2007 the Employment and Labor Relations Act 2004 (ELRA 2004) and Labor Institutions Act 2004 (LIA 2004) coming into effect by repealing several old employment laws. This Human Resource Policy (HRP) is drawn in accordance with the university Charter and this law including its current regulations and the amendments assented on 15th September, 2016 by the President (Honorable Dr. Jakaya Mrisho Kikwete).

Here below, is a brief summary of the Law.

1. **Structure of the Employment & Labor Relations Act 2004 (ELRA 2004) and Labor Institutions Act 2004 (LIA 2004) law:**

- i. Applicable to all public and private sectors, except armed forces.
- ii. Industrial Court to be replaced by the Labor Court which will now be part of the High Court.
- iii. No Conciliation Board – to be replaced by the Commission for Mediation and Arbitration
- iv. Trade Union field branches not mandatory. May be established where 10 or more of its members are employed.
- v. Right to Strike:
 - a. Strike no longer a criminal offence but a Labor dispute.
 - b. Notice of 48 hrs. to be given by employees before implementation.
 - c. Strike cannot take place without an opportunity for mediation.
 - d. Strike can only take place on a dispute of Interest (better working conditions etc.) and not arising out of dispute of right (wages etc.)
- vi. No statutory discipline code:
 - a. Own disciplinary code to be developed and certified by the Labor Department.
 - b. Codes of good practices should be followed.
 - c. Grievance procedures must be developed.
- vii. Rigorous enforcement of standards in safety, health and hygiene will be required.

2. **Employment Standards:**

- i. Contracts of Employment – Only 3 types of contracts will be recognized:
 - a. Indefinite contract
 - b. Contract for specified period
 - c. Contracts for specified tasks (i.e. “specific task” means a task which is occasional or seasonal and is non-continuous in nature)
 - d. All records must be safe guarded for a period of 5 yrs. after termination / end of contract.

- ii. Hours of Work:
 - a. 45 hrs. in a 6 day week.
 - b. Not more than 50 hrs. of overtime in a month.
 - c. Not more than 12 hrs. a day (including overtime).
 - d. Payment for night shift (8:00p.m. – 6:00a.m.) = Wage + overtime (in case required)
 - e. One hour break for more than 5 hrs. of continuous work. Break is over and above the normal working hours.
 - f. Supervisors / Managers are not eligible for overtime.
- iii. Leave: Annual Leave:
 - a. Employee with less than 6 months of service is not entitled for leave.
 - b. Leave encashment is allowed and an employer shall pay the employee one month salary *in lieu* of annual leave to which that employee is entitled or was called upon to work. “With the consent of an employee, the employer may require or permit such employee to work for the employer during a period of annual leave on condition that such employee shall not work for a continuous period of two years.”
 - c. Leave can be differed for 12 months on mutual agreement.
- iv. Sick leave:
 - a. Paid sick leave 63 days full pay.
 - b. Paid sick leave 63 days half pay.
 - c. Total 126 days in 36 months.
- v. Paternity leave – 3 days paid leave within 7 days of birth – once every 3 years.
- vi. Maternity Leave:
 - a. Notification of 3 month before expected date of delivery.
 - b. No employee shall work within 6 weeks of giving birth.
 - c. Maternity leave is 84 days in a 36 month cycle.
 - d. Maximum maternity leave (paid) is for the birth of 4 children.
 - e. An employee becoming pregnant within 12 months of the death of the new born, should be given the maternity leave as replacement leave.

- vii. Compassionate Leave of at least 4 days in a 36 month cycle with pay should be given in case of sickness or death of:
 - a) Own Child – sick or death
 - b) Spouse – Death
 - c) Parent – Death
 - d) Grand Parent – Death
 - e) Grand Child – Death
 - f) Sibling – Death

3. Termination of Employment:

Termination of employment has been defined to include the following:

- a. A lawful termination under the common law;
 - b. A failure to renew a fixed term contract of the same or similar terms if there was a reasonable expectation of renewal of the contract;
 - c. A failure to allow an employee to resume work after maternity leave;
 - d. A failure to allow an employee if the employer had terminated employment of a number of employees for the same or similar reasons and has offered re-employment only to some of those terminated.
 - e. A termination by an employee because the employer made continued employment intolerable – forced resignation.
- viii. A lawful termination under the common law includes one of the following:
 - a. Termination by agreement.
 - b. Automatic termination e.g. death of an employer.
 - c. Termination by an employee – resignation.
 - d. Termination by the employer.
 - e. End of contract.
 - ix. The rules that regulate the termination of a contract of employment often depends on the duration of the contract. There are two kinds of agreed duration:
 - a. An agreement to work for a fixed term. A fixed term contract normally terminates automatically on the expiry of the period.
 - b. An agreement to work without reference to limit of time, normally called an indefinite contract. This contract continues until it is lawfully terminated.
 - x. An employer must follow a fair procedure before terminating an employee's employment:
 - a. Disciplinary procedures must be followed.
 - b. Notification of the reasons for termination must be given.
 - c. Opportunity for the employee to make representation before termination takes place.
 - xi. The burden of proof lies with the employer
 - xii. There are 4 kind of reasons that justifies termination by an employer

(i) Misconduct:

Although it is generally not appropriate to dismiss an employee for a first offence, termination may be justified if the misconduct is serious and of such gravity that it makes a continued employment relationship intolerable. Without being exhaustive, the following acts are considered to be sufficiently serious to justify termination:

- a. Gross dishonesty
- b. Willful damage to property
- c. Willfully endangering his/her safety or the safety of others
- d. Gross negligence
- e. Assault on a co-employee or any other person associated with the employer
- f. Gross insubordination

In determining whether or not termination is the appropriate sanction, the employer must consider:

- xiii. The gravity of the misconduct in the light of past infringements, the strictness of the rule, the nature of the job, health and safety and the likelihood of repetition.
- xiv. The circumstances of the employee such as the employee's employment record (including length of service, previous disciplinary record) and personal circumstances. Employer should apply the sanction of termination consistently with the way in which it has been applied to the same and other employees in the past under same circumstances.

(ii) Incapacity:

Is of two types:

Poor Performance:

- a. An employer should stipulate standards of work. Some standards are self-evident or can be inferred from custom and practice. Others need to be stated in the contracts of employment or in manuals and brought to the specific attention of the employees.
- b. It is important in determining the fairness of a termination for poor work performance that the performance standard is not only reasonable but also known to the employees.

(iii) Ill Health Or Injury:

- a. An employer who is considering terminating an employee on grounds of ill health or injury must take into account the following factors to determine the fairness of the reason in the circumstances:
 - i. The cause of the ill health or injury
 - ii. The degree of incapacity
 - iii. The temporary or permanent nature of the incapacity
 - iv. The ability to accommodate the incapacity
 - v. The existence of any compensation for the ill health or injury pension.

- b. These factors affect each other e.g. if an employee is injured at work or is incapacitated by work related illness (the cause), an employer must go to greater lengths to accommodate the employee.
- c. If the employee is temporarily unable to work in these circumstances, the employer should investigate the extent of incapacity or the injury.
- d. If the employee is likely to be absent for a time that is unreasonably long in the circumstances, the employer should investigate possible ways to accommodate the employee – for example temporary replacement, light duty, alternate work, early retirement or pension etc.
- e. The factors that may be relevant in the investigation include:
 - i. The nature of the job;
 - ii. The period of absence;
 - iii. The seriousness of the illness or injury; and
 - iv. The possibility of securing a temporary replacement or adapting the job.

(iv) Incompatibility:

There are 2 types of incompatibility:

- a. Unsuitability of the employee to his or her work due to his or her character or disposition;
- b. Incompatibility of the employee in his or her work environment in that he or she relates badly with co-employees, clients or other persons who are important to the business.
- c. Incompatibility is treated in a similar way to incapacity for poor work performance.
- d. The steps required in respect of that ground are applicable. In particular, the employer must:
 - i. Record the incidents of incompatibility that gave rise to concrete problems or disruptions.
 - ii. Warn and counsel the employee before termination.

(v) Operational requirements:

A retrenchment means termination of employment because of a redundancy arising from operational requirements of the business. An operational requirement is defined in the Act as a requirement based on the economic, technological, structural or similar needs of the employer.

Grounds of Retrenchment:

- It is difficult to define all the circumstances that might legitimately form the basis of a termination for these reasons. As a general rule:

- a. The re-organization of the business arising from restructuring of the business.
 - b. Economic reasons.
 - c. Technological reasons.
- i. Because retrenchment is essentially a 'no fault' termination and because of the adverse effect on the employee affected by it, the courts or arbitrators will scrutinize a termination based on operational requirements carefully in order to ensure that the employer has considered all possible alternatives to termination before it is effected.
- ii. The obligations placed on an employer are both procedural and substantive. The purpose of negotiation is to permit the parties, in a joint problem solving exercise, to reach agreement on:
 - d. Alternatives to terminations such as transfer to other jobs etc.
 - e. Criteria for selecting the employees for termination such as Last-in-first-out (LIFO) subject to special skills.
 - f. Steps to minimize the number of termination such as voluntary retrenchment package, early retirement etc.
 - g. Conditions on which terminations take place e.g. timing, severance pay etc.
 - h. Steps to avoid the adverse effects of the terminations e.g. time to seek alternate employment etc.

5. Severance Pay:

- i. In terms of section 42 of the Act, when an employment contract terminates, the employer must pay the employee a severance pay means an amount equal to 7 days' basic wage for each year of continuous service up to maximum of 10 years.
- ii. This is applicable even if the employee is a member of NSSF.
- iii. The employer is not required to pay severance pay:
 - a. Before the completion of the first year of employment.
 - i. If the employment is terminated for a fair reason relating to misconduct.
 - ii. If the employment is terminated for a fair reason relating to operational requirements and the employee unreasonably refuses to accept alternative employment with the employer or any other employer.

RECRUITMENT AND SELECTION

POLICY AND PROCEDURE

POLICY

The recruitment and selection decision is of prime importance as the vehicle for obtaining the best possible person-to-job fit which will, when aggregated, contribute significantly towards the University's effectiveness. It is also becoming increasingly important, as the University evolves and changes, that new recruits show a willingness to learn, adaptability and ability to work as part of a team. The Recruitment and Selection procedure should help managers to ensure that these criteria are addressed.

The University Recruitment and Selection Policy will:

- i. be fair and consistent;
- ii. be non-discriminatory on the grounds of sex, race, age, religion or disability;
- iii. conform to statutory regulations and agreed best practice.

PROCEDURE

THE RECRUITMENT PROCESS

The following procedure should be used when a post is to be filled.

Define the job. If it is an existing post, is an exact replacement required or is this an opportunity to revise the requirements. If it is a newly established post be clear on the exact requirements, draw up a job description and consult the appropriate Head of Department in relation to the appropriate grade and salary.

Complete a Job Vacancy Form which confirms:

- i. details of the post
- ii. final approval after consultation with the Founder;

THE SELECTION PROCESS

Appropriate selection procedures must be used for each post. Procedures may vary, at its simplest this may involve a straight forward interview and skills testing.

The Human Resource Manager will approach relevant people to assist with shortlisting and interviewing. At least two people should be involved in shortlisting and sit on the Interview Panel.

Short listing Panel: Deputy Vice Chancellor Academics Research and Consultancy and respective HOD in case of academic staff.

Interviewing Panel: Deputy Vice Chancellor Administration, Finance and Planning and respective HOD in case of Administrative staff

The panel will:

- i. Decide on the interview format and determine which areas to concentrate on with the questioning;
- ii. Receive the references for candidates and contact them to check on the references.

At the interview, the panel will ensure that the Job Application Form and Interview Evaluation Form are completed as fully as possible. When interviewing, they will ensure that Equal Opportunities legislation is strictly adhered to, with no discrimination shown on the grounds of sex, religion, age, disability or ethnic origin.

When all candidates have been interviewed, the panel will recommend to the Vice Chancellor and the Founder on the best person for the post. On approval by the Vice Chancellor and the Founder, the Human Resource Manager will arrange to inform the successful candidate as soon as possible, agreeing a commencement date and starting salary.

The Human Resource Manager will then:

- i. telephone all unsuccessful candidates with outcome of interview within three working days, this will be confirmed in writing;
- ii. write to the appointee, offering the post providing satisfactory references and health clearance
- iii. initiate a personnel file and computer entry for the new member of staff;
- iv. in liaison with the respective HOD organize and conduct a thorough induction program for the new employee.

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JOB VACANCY FORM

THE INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY	DATE OF APPLCATION:
JOB TITLE:	DEADLINE FOR APPOINTMENT:
TYPE OF VACANCY: NEW POSITION / REPLACEMENT	DEPARTMENT:
WHEN THE POSITION BECOMES VACANT:	WORK STATION:
IF IT IS A REPLACEMENT POSITION, PLEASE GIVE THE REASONS FOR REPLACEMENT:	
JOB DESCRIPTION:	
MINIMUM QUALIFICATIONS REQUIRED: AGE: ACADEMIC: PROFESSIONAL: OTHERS:	
SALARY RANGE:	
ADDITIONAL COMMENTS:	
HUMAN RESOURCE MANAGER: _____ NAME _____ DATE _____ AUTHORIZED BY: _____ NAME _____ _____ DATE _____	

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JOB APPLICATION FORM

THE INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY: DATE OF APPLICATION:					
FIRST NAME OF APPLICANT:					
MIDDLE NAME:			LAST NAME:		
RESIDENTIAL ADDRESS: (PLOT NO)					
STREET NAME:					
AREA:					
TELEPHONE:			MOBILE:		
POSTAL ADDRESS:			EMAIL:		
PLACE OF BIRTH:			CITIZENSHIP:		
D.O.B.:		SEX:		MARITAL STATUS:	
POSITION APPLIED FOR:					
QUALIFICATIONS: (ACADEMIC)					
QUALIFICATIONS: (PROFESSIONAL)					
KNOWLEDGE OF LANGUAGES: Written: _____ Spoken: _____					
KNOWLEDGE OF COMPUTERS/ SOFTWARES:					
RELEVANT WORK EXPERIENCE (Last Employment)					
Name of University: _____ _____			Position Held: _____		
Date of Joining: _____ _____			Date of Leaving: _____		

Salary Drawn: _____		Reasons for Leaving: _____	
REFeree 1: (SHOULD PREFERABLY BE PAST EMPLOYER)		REFeree 2: (SHOULD PREFERABLY BE PAST EMPLOYER)	
NAME:		NAME:	
PLACE OF WORK:		PLACE OF WORK:	
DESIGNATION:		DESIGNATION:	
TELEPHONE:		TELEPHONE:	
HOW IS THE REFeree KNOWN TO YOU?		HOW IS THE REFeree KNOWN TO YOU?	
REMUNERATION DETAILS:			
EXPECTED SALARY & BENEFITS:		COMMENTS IF ANY:	
AVAILABLE FROM:		SIGNATURE:	

ATTACHMENTS:

- ☐ Photographs
 ☐ CV
 ☐ Certificates
- ☐ Letters Of Reference from Past Employers
 ☐ Letters Of Reference Referees

FOR OFFICIAL USE:

POSITION OFFERED:		PROBATION PERIOD:	
FINALIZED SALARY:		During Probation:	After Probation:
COMMENCEMENT DATE:			
SIGNATURE HUMAN RESOURCE MANAGER:			
DATE:			

APPLICATION APPROVED BY:

VICE CHANCELLOR
DATE:

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INTERVIEW EVALUATION FORM

NAME OF THE CANDIDATE					
POSITION CONSIDERED FOR					
The rating of factor should be reflected by placing a tick <input checked="" type="checkbox"/> in the appropriate section on the scale, that best represents your evaluation.					
U Unacceptabl e	M Margin al	A Adequat e	G Good	E Excelle nt	
	U	M	A	G	E
WORK EXPERIENCE: Consider similar job duties similar working environment, same degree of supervisory and management responsibilities. Comments:					
EDUCATION, TRAINING & PROFESSIONAL QUALIFICATIONS: Consider formal education, major fields of study, specialized training received for relevant position, results / grades achieved. Comments:					
TECHNICAL COMPETENCE: Consider knowledge, understanding and technical expertise of candidates as it relates to the requirements of the position. (a) _____ (b) _____ (c) _____ (d) _____					

<p>—</p> <p>Comments:</p>					
<p>APPEARANCE, MANNER & PERSONALITY: Consider general appearance, nervous mannerism, self-confidence, aggressiveness, poise, composure, overall presentations, maturity:</p> <p>Comments:</p>					
<p>SUPERVISORY & LEADERSHIP QUALITIES / POTENTIAL: Consider previous supervisory / leadership experience \, degree of assertiveness, confidence level, acceptance of authority and responsibility, ability to motivate others.</p> <p>Comments:</p>					
	U	M	A	G	E
<p>ATTITUDE, STABILITY & MATURITY: Consider friction with former supervisors, peer relationships, reasons for leaving jobs, frequency of job changes, sense of responsibility, attitude towards work and towards family.</p> <p>Comments:</p>					
<p>INTERPERSONAL & COMMUNICATION SKILLS: Consider liking for and ability to get along with people, ability to maintain pleasant inter-relationships with supervisors, peers and subordinates, spoken English, ability to communicate ideas and thoughts in clear, concise and organized manner.</p> <p>Comments:</p>					

<p>AMBITION & MOTIVATION: Consider clarity of future goals and direction, aspiration for success, drive, energy level.</p> <p>Comments:</p>					
<p>PROBLEM SOLVING SKILLS AND ANALYTICAL REASONING ABILITY: Consider articulation and organization of information, thoughts and ideas during interview, mental alertness, keenness of mind, grasp of complex ideas, problem solving ability.</p> <p>Comments:</p>					
<p>CULTURAL SENSITIVITY: Consider applicants concept of living and working in a different culture, understanding of how cultural differences can effect communication and understanding.</p> <p>Comments:</p>					
<p>OVERALL RATING: Consider all the facts about the applicant, how suitably he matches the job requirement and how well he can fit into our organization.</p> <p>Comments:</p>					
<p>RECOMMENDATION: <input type="checkbox"/> Hire <input type="checkbox"/> Do not Hire <input type="checkbox"/> Further Interview <input type="checkbox"/></p> <p>Shortlist</p> <p>Signature: _____ Date: _____</p>					

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Human Resource Manager's Checklist

RECRUITMENT

1. Review the post - is it necessary, does it need change, can the duties be adequately covered elsewhere. If significant changes are required or it is a new post please discuss the details in relation to grade and salary with the Human Resource Manager
2. Complete a Job Vacancy Form ensuring approval of the Vice Chancellor
3. Review / complete the job description and person specification
4. Decide the most effective way to recruit to the post. For example internal advert / job center / national press etc.
5. Design the advert and advertise

SELECTION

6. Decide on the interview panel as soon as possible and arrange a suitable date with them.
7. With at least one other member of the interview panel shortlist for the post using the person specification
8. Contact the candidates and set up the interviews / tests etc.
9. Ensure arrangements are in hand to welcome candidates as they arrive, to escort them to the interview and to the medical if appropriate.
10. Complete the interview. Contact them by phone and offer the post to be followed by a letter of offer (conditionally when details such as references, medical etc. have to be confirmed) agreeing verbally the salary and start date.
11. Set up an individual induction program for the new appointment.

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CONTRACT FOR EMPLOYMENT

This agreement is made

BETWEEN

THE INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

(herein after referred to as the “Employer”) Mbezi Beach, New Bagamoyo Road, P O Box 77594
Dar es Salaam

AND

(hereinafter referred to as the “Employee”)

Age: _____

Sex: _____

Physical, Postal and e-mail Address of the Employee: _____

1. COMMENCEMENT:

This contract shall commence on _____ and continue until lawfully
terminated. However, the date of employment of the employee will be recognized as

2. PLACE OF RECRUITMENT: _____

3. PLACE OF WORK: _____

4. JOB DESCRIPTION: _____

4.1 JOB TITLE: _____

4.2 DUTIES: As per Annexure 1

4.2.1 Although the employee's place of recruitment is Dar Es Salaam, he/she may from time to time be required to work in other places as required by the Employer.

4.2.2. The employee shall carry out the duties assigned to him/her by the Employer together with any other duties as may be necessary for the furtherance of the Employer's business or professional reputation.

5. PROBATION:

This contract is subject to a probationary period of six months, starting from the commencement date of employment. The purpose of this probationary period is to assess whether the employee has the capacity or compatibility required for the job. Where the contract is terminated during the first month of employment, seven days' written notice is required.

6. REMUNERATION:

6.1 The employee shall be paid an all-inclusive gross salary of Tshs _____ a month which will be subject to all statutory deductions.

6.2 The employee shall be entitled to other allowances of _____ a month which shall be taxable.

6.3 Salary increments and bonuses are not automatic and will depend, inter alia on the employee's performance and the economic conditions of the Employer and the Country in general.

6.4 The salaries will be reviewed by the Employer once a year.

7. HOURS OF WORK:

7.1 The ordinary daily working period shall be from:

8:00 a.m. to 5:-00 p.m. Monday to Friday (Including 1 hour break)

8:00a.m. to 1:00 p.m. on Saturday.

7.2 The ordinary working week commences on Monday and ends on Saturday.

8. ANNUAL LEAVE:

8.1 The employee is entitled to 28 consecutive days paid leave during each leave cycle. These days shall be inclusive of any public holidays falling within the leave period. A leave cycle for the purpose of annual leave means a period of 12 months consecutive employment or the completion of the last leave cycle.

8.2 The employee's leave shall be taken from _____ to _____

Or at other time determined by the employer after consultation with the employee

8.3 The number of days may be reduced by the number of days of occasional leave granted at the request of the employee.

8.4 The annual leave must be taken prior to the 31st day of March of the following year. Any default thereof, the employee shall forfeit such leave without entitlement of payment in lieu of thereof.

9. SICK LEAVE:

9.1 Subject to Section 32 of the Act, the employee is entitled to 126 days paid sick leave in any leave cycle, if supported by a medical certificate on each occasion when sick leave is taken. Payment by the employer shall however not be required if the employee is entitled to paid sick leave under any law, fund or collective agreement.

9.2 Payment for sick leave shall be calculated as follows:

(a) the first 63 days shall be paid at the basic wage, and

(b) the second 63 days shall be paid at half the basic wage.

9.3 For the purposes of sick leave, a leave cycle means a period of 36 months consecutive employment from the commencement date of employment or the completion of the last 36 month leave cycle.

9.4 The employee shall notify the employer as soon as possible in the event of absence from work through illness.

10. PATERNITY, MATERNITY AND COMPASSIONATE LEAVE:

10.1 The Employee shall be entitled for Maternity or Paternity and Compassionate leave according to the Employment and Labour Relations Act 2004.

11. TERMINATION OF EMPLOYMENT:

11.1 This contract may be terminated by either party giving the other one month notice or payment in lieu of notice.

11.2 At any time during this period, this Contract can be terminated on the basis of University Code of conduct, Performance or any other reason.

11.3 The Employee shall not be entitled to Severance pay if the Contract is terminated on grounds of misconduct, incapacity, incompatibility or operational requirements during the period of the contract.

12. OTHER CONDITIONS OF EMPLOYMENT OR BENEFITS:

12.1 The Employee hereby warrants that the representations made by him/her to the Employer in respect of his/her qualifications, experience and skills as contained in the CV are valid, true and correct. It is hereby recorded that such warranty continued in this clause is a material term of and forms basis of this contract.

In the event of a breach of this warranty or undertaking, the Employer shall be entitled to terminate this contract summarily.

13. EMPLOYEES OBLIGATIONS:

13.1 During the continuance of this contract, the Employee shall well honestly and faithfully serve the Employer in such capacity as aforesaid and will at all times devote his/her full and undivided attention to his duties and shall not be engaged or interested either directly or indirectly in any capacity in any business or the Employer to which he/she has been appointed without prior written authority of the Employer.

13.2 In the event that the Employee has any business interests or any other employment occupation whether for a gain or not, prior to or as at the Commencement Date, he shall declare the same to the employer in writing and shall desist from the same if so requested and if not so requested, shall declare such interests or any other such interests acquired thereafter annually in writing to the Vice Chancellor.

13.3 The Employee shall not, whether for his own use or benefit for that others, make use of, avail himself of, or derive profit from any information or knowledge in relation to the business or affairs of the Employer, which he may acquire by reason of his employment with the Employer.

13.4 Upon termination of this agreement, howsoever terminated, the employee shall return to the Employer any and all manuals, reports, documentation, equipment or other items of property, including any items by or on behalf of the employer and/or which may have otherwise come into his possession. In the event that such uniform, protective clothing or equipment is damaged or lost by the Employee, the Employee shall be liable for the cost of repaid or replacement of the same.

13.5 Any breach of this clause or any part thereof, by the Employee shall be deemed to be an act of serious misconduct entitling the Employer to terminate this agreement without notice or payment in lieu thereof.

14. APPLICATION OF THE ACT:

14.1 This agreement shall be interpreted and applied in accordance with the provisions of the Act.

14.2 Where any conflict arises between this agreement and the Act, the provisions of the Act shall apply as if it is a term of this agreement.

14.3 The employee shall be entitled to any other benefits stipulated by the Act even if not stated in this agreement or as agreed between the parties.

Read, understood, agreed and signed

EMPLOYER

DATE

EMPLOYEE

DATE

INDUCTION POLICY AND CHECKLIST

POLICY STATEMENT

1. GENERAL

The University believes that all new employees MUST be given timely induction training. This training is regarded as a vital part of staff recruitment and integration into the working environment. This policy, associated procedures and guidelines define the University's commitment to ensure that all staff is supported during the period of induction, to the benefit of the employee and University alike.

2. AIM

It is the aim of the University to ensure that staff induction is dealt with in an organized and consistent manner, to enable staff to be introduced into a new post and working environment quickly, so that they can contribute effectively as soon as possible. This induction policy, associated procedures and guidelines aim to set out general steps for Managers and Staff to follow during the induction process. It is expected that all Managers and HOD will adhere to this policy.

The University expects that the implementation of good induction practice by Managers/Supervisors will:

- i. Enable new employees to settle into the University quickly and become productive and efficient members of staff within a short period of time.
- ii. Ensure that new entrants are highly motivated and that this motivation is reinforced.
- iii. Assist in reducing staff turnover, lateness, absenteeism and poor performance generally.
- iv. Assist in developing a management style where the emphasis is on leadership.
- v. Ensure that employees operate in a safe working environment.
- vi. Will reduce costs associated with repeated recruitment, training and lost production.

3. THE UNIVERSITY'S COMMITMENT

The University Management will:

- i. Issue guidelines to familiarize HOD and Supervisors with the induction process.
- ii. Maintain and update an Induction Policy.
- iii. Provide a checklist for HOD and Supervisors to follow during the induction period.
- iv. Ensure there is effective monitoring of the induction process particularly in the first three months.
- v. Deal with any problems promptly providing an efficient service for both Managers and Staff.
- vi. Review all policy, procedure and guideline documents on a regular basis.
- vii. Provide relevant formal training courses necessary to assist the induction process.

OTHER THINGS TO CONSIDER

- i. Information should always be given closest to the time it is needed; so if it is not essential for the first day or first week of employment it needs to be followed up separately from the main body of the induction.
- ii. Each new employee should be provided with a clear understanding of our culture, any local customs and practice, levels of formality required and expectations with regard to conduct within the workplace.
- iii. A key factor in any effective induction is preparation. Ensure you have considered everything required to commence productive work e.g. their workspace, any equipment needs, and uniforms.
- iv. Where needed, how they are to be trained in their specific role needs to be outlined and this could include being paired with an experienced colleague who can mentor or 'Buddy' them.
- v. The induction process should be reviewed and improved over time based on feedback from employees.

The Induction & Orientation Process

An effective process begins prior to the new employee actually joining the Organization. Even during the interview and recruitment process we have the opportunity to show the Organization as an employer of choice by ensuring that invitations to interview, the interview itself and the post-interview follow up is always carried out in a professional manner.

Ownership

Delivery of effective inductions is the responsibility of Managers. They must deliver inductions consistently to the University standard ensuring a positive experience is received by all new employees.

Induction & orientation should always be viewed as an ongoing process covering at least the first six months of a new employee's career with the University.

The table below illustrates some key milestones in the induction & orientation process.

Tools to Support the Process

DAY 1	WEEK 1
<ul style="list-style-type: none"> ■ Welcome to the University / Location ■ Briefing on domestic arrangements ■ Briefing on agenda for day one ■ Issue local Welcome pack including checklist ■ Initial Question & Answer session ■ Corporate / Region overview ■ Local overview ■ Details of new role and performance expectations ■ Corporate / Local policies (Essential ones only) ■ Health & Safety information / Site Rules ■ Explanation of pay & benefits for role ■ Outline of agenda for first week ■ Tour of location & wash up session ■ Senior Manager Meeting 	<ul style="list-style-type: none"> ■ Conduct detailed explanation of new role requirements ■ Explain how performance is measured ■ Conduct initial training needs analysis (where required) ■ Revisit Health & Safety / Site rules ■ Revisit Accident / Emergency procedures ■ Ongoing Question & Answer session ■ Informal / regular "check in" by Line Manager
MONTH 1	
<ul style="list-style-type: none"> ■ Review first months performance ■ Review initial employment experience at DGF ■ Review training effectiveness to date (where defined) ■ Identify further training needs & develop action plan ■ Ongoing Question & Answer session ■ Gather Induction/Orientation feedback ■ Explain any employment benefits that may now be due 	<ul style="list-style-type: none"> ■ Review performance and experience ■ Review training effectiveness ■ Check understanding / interest / motivation ■ Give positive & encouraging feedback ■ Confirm end of probation when applicable ■ Explain any employment benefits that may now be due

Buddy System

The main role of the Buddy is to ensure that all new employees become integrated into the business culture and environment as quickly as possible by acting as a first point of contact for advice and information and by dealing effectively with any concerns or questions that may arise in the early weeks of employment.

Where they have been successfully implemented Buddy programs have been proven to have a significant impact on retention levels of new employees. This level of support has also allowed new employees to become productive and efficient more quickly thereby enabling them to assist in meeting business targets and objectives.

Please contact your HR Manager for more details.

Competences

Competency segment 'Business'

Customer orientation:

Focuses on identifying and meeting customer needs. Acts to establish a successful long-term business partnership with internal and external customers.

Business acumen:

Understand business principles and language, including the fundamentals of finance and profitability. Uses this understanding to establish clear priorities for actions and to increase the performance and profitability of our University

Cross Border Thinking :

Thinks and acts across boundaries (e.g. between processes, units, divisions, countries). Respects different cultural values. Helps the integration of our group through proactive information sharing.

Shaping Direction:

Develops and communicates strategies and goals that achieve competitive advantage. Demonstrates a clear understanding of organization's strengths, weaknesses, opportunities and threats.

Analysis Capability/Action Oriented:

Investigates the component parts of a whole and their relations in making up the whole. Examines and evaluates the relevant information to select the best course of action from among various alternatives. Breaks down a problem situation or process into its component parts,

separates the main issues from side-issues, understands the nature of parts and their relationship to one another. Seeks out and critically evaluates both numerical and narrative information. Draws accurate conclusions. Defines, implements and develops, appropriate and effective action plans to solve all the issues and/or to cover all the gaps discovered. Monitors and controls them and makes the necessary follow-up. Be absolutely concrete and strictly linked to the bottom line results.

Planning & Organizing:

Identifies action steps, resources, or obstacles involved in reaching the goals, prepares a schedule and sets priorities to complete the assigned task in the most efficient and effective manner.

Decision Making:

Makes timely and appropriate choices based on accurate analysis and experience. Uses sound judgment even in conditions of uncertainty. Anticipates impact of decisions and plans how to manage risk, minimize costs and achieve goals.

Results Orientation:

Assesses, prioritizes and develops operational work plans; Knows how to get the work done most effectively and delivers quality products and services in a timely manner; uses resources effectively, establishes budgets, monitors, controls, follow up, and stays within them and closed to them. Finds ways to improve quality within time and costs constraints and is able to identify cost saving measures and productivity improvement initiatives.

Competency segment 'Leadership'

Teamwork:

Excellent cooperation and team work capacity, motivates others and is capable of leading a team towards the achievement of the aimed purposes. Involve vs impose attitude.

Constructive Challenge

Contributes to an environment where people at all levels stand up for their ideas and where the status quo can always be challenged for the better.

Building and Leading Teams

Knows the talent needs of the team. Attracts and develops the people who can meet those needs. Encourages effective cooperation among team members and between teams. Inspires team spirit and the commitment to achieve high standards of performance

Building and Managing Partnership

Uses interpersonal styles to create and sustain effective relationships with business partners (e.g. suppliers, joint venture partners, industry groups, competitors, governments, unions) and colleagues. Is open to approaches that meet mutual goals

Competency segment 'Personal'

Accountability:

Reliable on for executing own job in the most appropriate form. Do what you promised to do in the manner, scale and timing you promised ("walk the talk"). Manages subordinates with confidence and can be counted on for accomplishing multitasks, for working under pressure and for meeting deadlines and stretch goals.

Communication:

Provides both verbal and written information in a timely, clear and concise manner. Expresses ideas effectively, adjusting style, tools and mode to the needs of others. Listens effectively and attentively, and summarizes or asks questions, when needed, to clarify information, accepting ideas coming from different level and departments/offices of the organization and be open to different point of views and ideas.

Self management:

Remains calm, objective and controlled in responding to urgent or demanding situations. Maintains effective performance under pressure. Stays positive.

Commitment to Excel:

Challenges self and others to exceed standards and achieve extraordinary results, striving for best in class. Is not easily deterred when obstacles or delays are encountered.

Check List

1. Pre-Employment Information Pack Checklist

This document provides a comprehensive list of all items to be considered when making an offer of employment and details which supporting documents should be sent to the new employee. This document is established, filled-in and controlled by the HR department and stored in the employee's file.

2. New employee Induction & Orientation Checklist

This document is completed by the Line Manager and is used to record all key stages in the induction process. When fully completed this document should be sent by the local Manager to the HR Department and stored in the employee's file.

3. Induction & Orientation Feedback

Gathering feedback on the effectiveness of the induction process is vital in order that improvements can be made over time. This form captures the new employee's views on the key stages in the process. The new employee should send it directly to the HR department at the end of the induction period.

4. Probationary Performance Review

This document is used by the Head of Department to review the performance of a new employee at key stages during the probationary period. When fully completed this document should be returned to the HR department and stored on the employee's file.

COMPLETING THE INDUCTION PROCESS

Induction can be said to end when the individual become fully integrated into the organization. Of course, there is no set timescale within which this will happen and follow up is essential. Giving new employees the opportunity to ask questions several weeks into employment can be useful, and the induction checklist will provide this opportunity. In some areas, such as understanding wider aspects of the organization follow up after a number of months may be appropriate.

PRE-EMPLOYMENT INFORMATION CHECK LIST

All employment offer/new starter packs must contain the following	
	Please Tick
Offer of employment letter detailing job title, start date, start time, manager details, induction information etc.	
Terms & conditions of employment/contract of employment etc. as dictated locally.	
‘The use of Email, the internet and Database Policy’/”acknowledge of receipt, read, understand and agree”	
Role profile/job description document	
DPWN Management Bonus system/Incentive Scheme (where applicable)	
Overview of the induction process and probationary performance review process	
Medical questionnaire/medical appointment details/drug & alcohol testing consent form etc. as dictated locally	
Request for Bank details and other essential information etc. as dictated locally	
Request for work permits/insurance details/tax details etc. as locally dictated	
Request for relevant licenses/copies of qualifications etc. as locally dictated	
Equipment requisition form – uniforms/IT equipment/University car/business cards etc. as required	
Request for emergency contacts/next to kin details	
Summary of benefits available – healthcare, pensions, University sick pay etc.	
University pension application form (if applicable)	
Summary of next steps to be taken e.g. when should documents be returned by and to whom?	

Insert local / special requirements:	

Pack prepared by: _____

Date: _____

PROBATIONARY PERFORMANCE REVIEW

Employee Name & Surname			
Manager Name & Surname		Date Entered Service	
Areas Being Reviewed	1st Review Rating	2nd Review Rating (If applicable)	3rd Review Rating (If applicable)
Understanding of key duties and responsibilities relevant to the role			
Adherence to standard operating procedures			
Quality and accuracy of work with respect of timelines			
Achievement of required performance levels			
Attendance record			
Adherence to absence reporting process			
Disciplinary record			
Adherence with "7 Corporate Values"			
Adherence with "Code of Conduct"			
Adherence with The use of "E-mail, Internet and Databases Policy"			
Understanding of site rules relating to safety and security			
Adherence to site rules relating to safety and security			
Safe operation of equipment			
Maintains positive and effective attitude to work			
Willing to accept additional/varied tasks as required			
Communicates effectively with managers and colleagues			
Work effectively with managers and colleagues			
For New Employees who are covering Sales position:			
Understanding the Market Share data, trends and challenges			
Understanding the Product Portfolio			
Analyzing data, trends, market survey results and make effective proposals to cover any gaps discovered			
Adherence with Sales Strategy and Philosophy and their spirit			
For New Employees who are covering Managerial / Supervision position:			
Adherence with "DPWN Leadership Competencies"			

Understanding the University's profit & loss statement business tool and the budget, forecast and medium term planning processes			
Analyzing data, trends, survey results and make effective proposals to cover any gaps discovered			
Employees Comments (If local requirements needed by law)	Manager Comments		
Rating	To be completed at the end of probationary period		
1. Far Exceeds – Outstanding performer 2. Exceeds – Very Strong performer 3. Fully Meets – Consistently good performer 4. Partially Meets – Has minor deficiencies (<u>coachable</u>) 5. Does Not Meet – Does not fulfill the performance requirements N/A Not Applicable	Transfer to Permanent Employment		<input type="checkbox"/>
	Extend Probation Period		<input type="checkbox"/>
	Terminate Employment		<input type="checkbox"/>

Employee Sign Off (If local requirement needed) _____

Manager Sign Off _____

Next Level Sign Off _____

INDUCTION & ORIENTATION FEEDBACK

Employee Name & Surname	
Service commenced on and where	
Feedback Completed on	

Please think about your employment to date with IMTU and rate the following statements accordingly				
	Strongly agree	Agree	Disagree	Strongly Disagree
1. Through the Induction & Orientation process I have gained an understanding of the aim and objectives of this business.				
2. I fully understand my role and the responsibilities of my job.				
3. I am fully aware of how the quality of my work is monitored and evaluated.				
4. I have received regular feedback on my performance from my manager or supervisor.				
5. Through the induction & orientation process I have gained the knowledge I need to do my job to the required standard.				
6. My manager has reviewed my ongoing training needs and a plan is in place to deliver them.				
7. I found the pre-work pack I received before starting work useful.				
8. I fully understand the “Seven Corporate Values” and their spirit.				
9. I fully understand “Code of Conduct” and its spirit.				
10. I fully understand “the use of email, internet and database policy” and its spirit.				
11. I am fully aware about the safety and security procedures and tools.				
12. I am fully aware about the University vision and mission, targets and programmes (like first choice).				
13. I fully understand the University organization.				
14. I am fully aware about the University’s product profile.				

For new employees who are covering Managerial / Supervision position				
15. I fully understand the “ University leadership competencies”				
16. I fully understand the University’s profit & loss statement and the medium term planning business tools.				
Insert local requirements				

Please think about the Induction & Orientation process and rate the following statements accordingly.				
	Strongly agree	Agree	Disagree	Strongly Disagree
1. The content of the Induction & Orientation presentation was clear and informative.				
2. Any questions that I asked were fully answered.				
3. The pace and structure was just right.				
4. The facilities provide the suitable.				
5. I found the “Buddy” process helpful and supportive (if applicable).				
Insert local requirements				

If you have any further comments or suggestions on how to improve the Induction & Orientation process, please detail them in the space below.

Thank you for taking the time to complete this feedback form.

Please return it to your HR department

DAY TO DAY RULES & REGULATIONS

ATTENDANCE:

In order to ensure that the work of the University is conducted effectively and efficiently, staff are required to report to work punctually.

1. All staff at all levels must sign in and out in the attendance roll.
2. The maximum sign-in time is 15 minutes after the reporting time.
3. Once 15 minute grace period is over, the attendance register should be removed.
4. Any staff reporting late for work must inform the immediate supervisor the reason for coming late before signing the attendance register.
5. Any staff not signing the attendance register will be marked as absent.

PROCEDURE FOR LATE COMMERS:

1. The Immediate Supervisor should ask the employee of the reason for coming late (after the 15 minute grace period), and only upon satisfactory explanation, should the employee be allowed to sign the attendance register.
2. If an employee has come late more than once in a week without a good reason, a verbal warning should be given and a file note kept in his/her personnel file.
3. If an employee does not heed to the verbal warning and continues to come late, a written warning following the disciplinary procedure should be issued.
4. Habitual offender who has not improved after the 2nd warning should be terminated by following the disciplinary procedure.

ABSENCE FROM WORK:

No employee is allowed to remain absent from work without genuine reason. A 'RETURN TO WORK' Form must be filled for each absence.

1. Any employee who fails to report to work without genuine reason for should be issued warning as follows:

✓ One day	-	Verbal Warning
✓ 2 Days	-	1 st Written Warning
✓ 3 Days	-	2 nd Written Warning
✓ Habitual Absentee	-	Termination
2. Any employee who remains absent for more than 5 days without reasons, should be terminated following the disciplinary procedure.

DRESS CODE:

1. All employees are expected to dress appropriately at all times in relation to their respective roles.
2. All employees are expected to ensure that their personal hygiene and grooming are properly attended to prior to presenting themselves at work.
3. Staff provided with uniforms and other gears should wear them at all times at work and it is their responsibility to ensure that they are clean and presentable.

UNIVERSITY PROPERTY:

1. Staff must ensure that the University property is well handled and maintained at all times.
2. Any loss or damage must immediately be reported to the respective supervisor.

UNIVERSITY PREMISES:

1. No staff must bring any unauthorized person on to the University premises without prior agreement from the respective manager.
2. In these circumstances, it will be the duty of the concerned staff in ensuring that the visitors are appropriately monitored during their stay and they should not have access to NO ACCESS areas in appropriately.
3. Staff should not remove any University property from the premises without prior authority from the respective Manager.

PERSONAL PROPERTY:

1. Any personal property such as jewelry, cash, clothes, motor vehicle etc. brought / left on the University premises is the responsibility and at the risk of an individual.
2. Staff are strongly advised not to leave any valuables unattended.
3. The University will not accept liability for loss or damage to any personal property whatsoever.

SMOKING AND OTHER SUBSTANCES AT WORK:

1. Smoking is prohibited in the offices, warehouses and production areas.
2. Smoking is only permitted in the outside areas for those who wish to smoke during their break time.
3. Bringing alcohol or any unlawful drugs to the workplace, and or indulging in them is strictly prohibited during work time or during a period prior to work where the effects carry over to the work place.
4. Any such instances will be dealt with under the disciplinary procedure and may lead to termination of employment.

HEALTH AND SAFETY:

1. It is the duty of all staff not to put themselves or others at risk by their acts or omissions.
2. All staff must ensure that they are familiar with the University Health and Safety procedures.
3. Any concerns regarding the health and safety aspects should be brought to the attention of the respective managers immediately.

UNIVERSITY PROPERTY POLICY

1. Motor Vehicles:

In its endeavor to ensure efficiency of individuals / units, the University provides motor vehicles to the Senior Managers as well those involved in transportation of its products.

- 1.1 It is the responsibility of the Head of Unit, to ensure that any individual who is allocated the Motor Vehicle has valid driving license to drive that type of vehicle, tested for driving and is aware of the local roads and traffic rules.
- 1.2 Utmost care must be taken by all personnel who are allocated with University Motor Vehicle for any purpose whatsoever.
- 1.3 It is the responsibility of the individual to ensure that the vehicle is in a clean and presentable shape at all times.
- 1.4 The vehicle must be made available to the maintenance personnel for weekly check-ups.
- 1.5 Any accidents / damage / faults / traffic offences must immediately be reported to the respective Head of the Unit, Group Admin Manager and Workshop Manager.
- 1.6 The cost of repairs of any accidents / damages arising out of the users' negligence / recklessness will be borne by the respective individual.
- 1.7 It will be the responsibility of individuals to ensure that all statutory licenses are renewed on time through the Workshop / Admin Department.
- 1.8 All necessary measures must be taken to ensure that the fuel provided by the University is used prudently.
- 1.9 No vehicle should travel outside the designated work station without prior authorization from the Vice Chancellor.

2. Other Property:

- 2.1 All personnel must use all University property and equipment with utmost care.
- 2.2 The University property and property should not be used for any unauthorized work.
- 2.3 All damages must immediately be reported to the respective Head of the Unit.

CODE OF CONDUCT POLICY AND PROCEDURES

1. POLICY

- 1.1. The University holds its employees to the highest standards of business conduct.
- 1.2. To provide employees with guidance in identifying business situations that create or have the potential to create legal and ethical problems, or the appearance of such, and to provide direction in handling actual and potential situations, the University has developed a Code of Conduct.
- 1.3. The University operates in full compliance with all legislation, so all employees are to align their business conduct to the requirements of all applicable legislation.
- 1.4. The University's Code of Business Conduct requires faithful compliance with all legislation by all employees, even if an employee believes noncompliance does not present ethical implications.
- 1.5. Compliance with all legislation does not eliminate the necessity for employees to consider the University's business ethics and values in all their activities. All employees must be cognizant of the fact that a legal business practice can still present an ethical problem.
- 1.6. It is critical to avoid even the appearance of any illegal or unethical behavior. Employees must behave in a fashion that retains the trust of our customers, employees, partners, shareholders, and the public.

2. SCOPE

This policy and procedure applies to all employees of the University.

3. ACCOUNTABILITY

- 3.1. Besides the employee contract signed on the start date, the employee will sign the Code of Conduct Policy.
- 3.2. Every employee is accountable for performance and conduct that fulfills the specific terms and conditions of Code of Conduct as well as its intent.
- 3.3. All managers are accountable for ensuring their employees operate within the specific terms and conditions of the Code of Conduct as well as its intent.

4. DEFINITIONS

- 4.1. Associate: For purposes of the Code of Conduct, an associate is a member of an employee's immediate family, a trust of which an employee is a trustee, or a trust in which a member of the employee's immediate family has a beneficial interest, or any other legal entity in which the employee has a material interest.

5. CODE OF BUSINESS CONDUCT PROCEDURE

- 5.1. Any question regarding whether a specific behavior is covered by the Code of Conduct should be presented to the Vice Chancellor, who will have the question reviewed by the appropriate parties (generally the legal officer) and return an answer to the employee.

5.2. Outside Employment

As a condition of employment, all employees are expected to devote their full professional efforts to the University's business, therefore outside employment of any nature should not be accepted.

5.3. Personal Financial Interest

- 5.3.1 Employees are expected to exercise their judgment and discretion in the best interests of the University and to avoid any conflict of interest or appearance of conflict of interest.
- 5.3.2. Employees and their associates should not have a direct or indirect interest and/or investment in any business enterprise that is doing or seeking to do business with the University, other than minor ownership of publicly traded shares.
- 5.3.2 Employees (and their associates) in positions to influence, make, or carry out investment or purchasing decisions should avoid investment in any business enterprise in which the University has an investment, from whom the University is receiving products or services.

5.4 Confidential and Proprietary Information

- 5.4.1 During the course of employment, employees may obtain access to information with respect to the University's business or personal affairs of its customers, investors, and employees must adhere to all privacy legislation.
- 5.4.2 This responsibility continues after an employee is no longer employed by the University, and the University will pursue all available legal remedies to prevent current and former employees from benefiting or missing such confidential University information.

5.5 University Opportunities

- 5.5.1 No employee may appropriate, for his/her own or any associate's personal profit or advantage, any business venture, opportunity, or potential opportunity discovered or

developed in the course of employment that is in any way related to any business in which the University is or may become engaged.

- 5.5.2 No employee may, directly or indirectly, compete with the University in the purchase or sale of any property, right, interest, or information, nor may any employee or associate knowingly acquire, directly or indirectly, anything of probable interest to the University without the prior written consent of the University.

5.6 Gifts, Entertainment, Loans, and Other Favors'

- 5.6.1 All transactions between the University and customers, suppliers, and vendors must be based solely on the merits of each decision.
- 5.6.2 Employees should not accept or give gifts, entertainment, loans, or other favors' from any business, enterprise, University, or person that is doing business or seeking to do business with the University, which is a competitor of the University, or with which the University is considering investing.

5.7 Political Contributions

- 5.7.1 The University forbids the use of University funds or resources for contributions to any political party or committee or candidate or office holder of government.
- 5.7.2 Employee will not be reimbursed by the University for any individual political contributions.

5.8 Protection of University Assets Including Staff, Customers, Partners and Investors

- 5.8.1 Employees share the responsibility to protect University property – both property specifically assigned to an employee as well as common property and property assigned to other employees.
- 5.8.2 No employee shall take, sell, lend, or give away any University property, regardless of its condition or value, without prior written authorization.
- 5.8.3 No employee has the right to receive or give away University services, information, use of information, use of facilities, or use of equipment without prior written authorization.
- 5.8.4 No employee has the right to encourage, entice, persuade or induce any fellow employee to terminate his/her employment.
- 5.8.5 No employee should furnish any information or advice to any customer, partner and investor of the University, or use any means, or take any action that result in termination of the association with the University.
- 5.8.6 Employee share the responsibility to build and maintain a healthy and safe work environment. All risks or potential risk(s) to the health and safety of the employees and customers need to be discussed with the Management.

5.9 Relationship with Competitors

- 5.9.1 An employee's knowledge of the University's business and information is one of the University's most valuable assets, so employees should not render advice or give advice, gratuitous or otherwise, to any University or individual engaged in the same business as the University without prior written authorization.
- 5.9.2 No employee shall at any time enter into a written or oral understanding or agreement, expressed or implied, or participate in any plan or scheme, formal or informal, with any competitor concerning prices, terms, conditions, contracts or any other University information without prior written authorization.
- 5.9.3 No employee shall engage in any other conduct that violets this policy or any law.

5.10 Disclosure

- 5.10.1 The following procedures have been established to allow disclosure of any material interest, affiliation, or activity on the part of any employee that conflicts with, is likely to conflict with, or may appear to conflict with the duties of any employee, the University or the University's Code of Conduct.
- 5.10.2 Individual staff must disclose, in writing, any conflicts or possible conflicts of interest with the Vice Chancellor.
- 5.10.3 All newly hired employees must disclose, in writing, any conflicts or possible conflicts of interest with the Vice Chancellor.
- 5.10.4 Any employee who, in the course of a year, becomes aware of potential conflict should immediately disclose in writing any conflicts or possible conflicts of interest with the Vice Chancellor.
- 5.10.5 The Vice Chancellor will determine all possible conflicts.
- 5.10.6 All information reported is treated as confidential, except to the extent necessary for the protection of the University interests or as required by law.
- 5.10.7 Employees not subjected to the disclosure procedure are not excused from the Code of Conduct.

5.11 Protection

- 5.11.1 Any employee knowing of an illegal act of the University or it's employees is encouraged to bring it to the Vice Chancellor's attention in writing.
- 5.11.2 There will be no retaliation by any employee of the University as a result of such disclosure.

5.12 Sanctions

Any infractions of the University Code of Conduct or requirements of this policy and procedure will subject the employee to stern disciplinary action including summary termination of employment.

ABSENCE CONTROL POLICY

Section 1

POLICY

It is recognized by the University that from time to time staff may require to be absent from their place of work due to illness (sick leave) or death in the family (compassionate leave) . The length of time lost by employees through illness or death in the family must however be monitored to ensure that each member of staff is able to do their job, effectively and without putting themselves or others at risk.

It is not the intention of the University to penalize the genuinely sick, however it must be recognized that an employee who is medically unfit to carry out his/her contractual duties may not be able continue in employment.

Heads of Departments will consider cases of sickness absence on an individual basis and ensure the provision of appropriate support, advice and Occupational Health / University Approved Doctor input where appropriate. However, it is recognized that in some cases, patterns/levels of absence will be unacceptable and formal management action will be required.

Employees who become aware that they have an illness problem are encouraged to inform their manager at the earliest opportunity. All such requests will be dealt with as speedily and compassionately as possible.

Proper sick leave register must be maintained as prescribed and approval from the HR Manager must be obtained.

Section 2

OVERVIEW OF PROCEDURAL STAGES

On return from absence all employees must be interviewed by their immediate line Head. At this interview the employee and the line manager must complete a 'Return to work interview' form agreeing the reason for the absence, medical certificate verification, the period of absence and, where appropriate, what course of action is required as a result of the absence. This form must be signed by both parties before being forwarded to the employees personnel file

Stage 1

In situations where an employee's absence record is giving some cause for concern, then the employee's Head of Department will discuss those concerns with the employee, providing support and counseling where appropriate. It is essential that any message conveyed in this manner is clear and unambiguous.

Stage 2

If there is no obvious improvement in the health of the employee or any sign of patterns emerging in an employee's absence then the Head of Department would arrange for the employee to meet the HR Manager who would 'formally' review the employee's case. At this formal stage the employee must be offered the opportunity for appropriate representation.

The employee must be given the outcome of this meeting in writing and where appropriate they must be given notice that their level of absence is unacceptable and a period of time to improve.

Stage 3

If the employee fails to improve in the given time scale then a formal second Review must be undertaken. If possible, a more senior manager should chair this meeting. The employee must be offered the opportunity for appropriate representation at this time.

Prior to the Meeting the employee must be seen by the University Approved Doctor who will give his opinion on the employee's health. The employee must be given the results of this meeting in writing. Where appropriate they must be given notice that their level of absence is unacceptable and that they are given a period of time during which to reduce their level of absence. The employee must also be informed at this stage if any further absences may result in their employment being terminated due to incapacity.

Stage 4

If there is still no improvement within the laid down time scale a Review will be held with the appropriate Deputy Vice Chancellor. The employee must be offered the opportunity for appropriate representation at this meeting. The Deputy vice Chancellor will review all the available evidence including the Doctor's report.

If there are no special circumstances the employee's employment will be terminated on the grounds of incapacity and their inability to meet the acceptable standards of attendance required by the University.

Section 3

APPEALS

Every employee has the right to appeal against the outcome of any formal review stage of the absence procedure. The basis of an appeal should normally relate to one of the following areas:

- (i) that the Code of Procedure had not been followed correctly.
- (ii) that the resulting action was inappropriate.
- (iii) that the need for action was not warranted.

Appeals against the formal stages of the Absence Procedure

An appeal should be put in writing to the appropriate Deputy Vice Chancellor the letter of appeal may be constructed by the employee. The letter should contain the grounds for appeal and should be lodged within 5 days of receipt of the issue of a formal letter. An appeal hearing should be arranged within 7 days of receipt of the appeal letter. An appeal against Dismissal will be considered in the same way, but should be heard by the Deputy Vice Chancellor who has not previously been involved in the case.

Section 4

PROCEDURES CHECK LIST

Stage 1

Return to Work Interview

This is an informal part of the Procedure, however in order to give the process credibility the following rules should be followed:

- i. Every employee should complete a 'Return to work interview' form with their immediate Supervisor/HOD..
- ii. Interviews should be carried out in an area where there will be no interruptions and where both parties may feel at ease.
- iii. The employee should always be informed of the reason for the meeting.
- iv. The meeting should be prefaced by an indication of concern for the employee as well as the need for the Head of Department to be aware of the health of his/her employees.

- v. The employee should be encouraged to discuss any problems they may be having with their health and to actively contribute to the solution to the problem.
- vi. Any apparent problem or patterns of absence should be brought to the employees' attention.
- vii. All relevant absence documentation **must** be recorded on the employees personnel file.

Counseling

As the first step in procedure it is vital that the message conveyed is clear and unambiguous.

Prior to counseling, full details of the employees' absence record along with reasons should be made available to both participants.

The employee should be made aware of the date and location of the Meeting and the reasons for it.

The employee should be given the opportunity to explain absence records and present any evidence required.

If there are medical problems it may be necessary to adjourn the Meeting for medical advice.

The Head of Department Head of Department/Supervisor will advise the employee of the outcome of the meeting and where appropriate of the need for improvement of their current absence level. Written confirmation of the outcome of the meeting will be given to the employee and a copy recorded on their personnel files.

Stage 2

- i. Prior to calling a hearing, full details of absence record along with reasons should be made available to all participants.
- ii. The employee should be made aware in writing of the date and location of the Review and the reasons for it.
- iii. In addition they should be informed of the right to be represented at the Review.
- iv. The employee should be given the opportunity to explain absence records and present any evidence required.
- v. If there are medical problems it may be necessary to adjourn the Meeting for medical advice.

- vi. The Head of Department should set out clearly the improvements expected and the time scale over which these improvements must be achieved.
 - i. The employee should be informed in writing of the requirements and the time scale and advised if the warning is to be recorded on his record.
 - ii. Any warnings issued will remain on the record for 6 months.

Stage 3

- i. If there has been no improvement in the absence record in the period set at the first Review or there has been a further breach of policy during the lifetime of a written warning then the employee must be informed in writing and asked to attend a Second Review. In addition they should be informed of the right to be represented at the Review.
- ii. Medical reports must be sought prior to the date of the Meeting and results made available to both parties.
- iii. The employee should be given the right to present any evidence in mitigation.
- iv. The employee should be informed of the need to improve their record and the possibility of dismissal if they do not do so. The employee must be informed of their right to appeal against this decision. (See Appeals). This should be confirmed in writing to the employee and held on their personnel file for 6 months.

Stage 4

- i. The employee must be given full details of the case and the possible consequences prior to attendance. The employee must also be informed of their right to representation at this meeting.
- ii. All medical evidence should be taken and considered before a final decision is taken.
- iii. If the decision is taken to terminate the employee then this should be done by giving full entitlement to termination (even if sick pay is exhausted).
- iv. The employee must be informed of their right to appeal against this decision. (see appeals).

COMPASSIONATE LEAVE APPLICATION FORM

NAME OF UNIVERSITY:	DATE:
NAME OF EMPLOYEE:	DEPARTMENT:
<p>I hereby apply for _____ Days Compassionate leave from _____ To _____</p> <p>Reason: <input type="checkbox"/> My Child is sick <input type="checkbox"/> My Child has passed away <input type="checkbox"/> My Spouse has passed away <input type="checkbox"/> My Parent has passed away <input type="checkbox"/> My Grand Parent Has passed away <input type="checkbox"/> My Grand Child has passed away <input type="checkbox"/> My Brother / Sister has passed away</p>	
<p>The funeral will take place in: _____ On: _____</p> <p>I will report back to work on: _____ My Contact No _____</p>	
FOR OFFICIAL USE:	
Balance of Compassionate Leave:	Last Compassionate Leave Taken on:
Reason:	No. of Days:
<p>HRM Signature:</p> <p>Name: Date:</p>	
<p>I, recommend / not recommend to take Days from to</p> <p>Head of Department:</p> <p>Name: Date:</p>	
<p>Management Decision: <input type="checkbox"/> Granted <input type="checkbox"/> Not Granted No. of Days: _____</p> <p>Vice Chancellor: _____ Date: _____</p>	

MATERNITY LEAVE APPLICATION FORM

TO BE SUBMITTED 3 MONTHS IN ADVANCE AND BE ACCOMPANIED BY A
MEDICAL CERTIFICATE

NAME OF UNIVERSITY:	DATE:
NAME OF EMPLOYEE:	DEPARTMENT:
I hereby apply for Days Maternity leave from To I am due for delivery on At Hospital in I will report back to work on: My Contact No.	
During my leave, I request my Salary to be given to who is my His / her Tel No. is	
FOR OFFICIAL USE:	
Has gone / not gone for maternity leave in last 36 months.	Last Maternity Leave Taken on:
HR Managers Signature: Name: Date:	
I, recommend / not recommend to take Days from to Head of Department: Name: Date:	
Management Decision: <input type="checkbox"/> Granted <input type="checkbox"/> Not Granted No. of Days: Vice Chancellor: Date:	

PATERNITY LEAVE APPLICATION FORM

SHOULD BE TAKEN WITHIN 7 DAYS OF BIRTH

NAME OF UNIVERSITY:	DATE:
NAME OF EMPLOYEE:	DEPARTMENT:
<p>I hereby apply for Days Paternity leave from To</p> <p>My Was born on At Hospital in</p> <p>I will report back to work on: My Contact No.</p>	
FOR OFFICIAL USE:	
Has gone / not gone for paternity leave in last 36 months.	Last paternity Leave Taken on:
<p>HRM Signature: Name: Date:</p>	
<p>I, recommend / not recommend to take Days from to</p> <p>Head of Department: Name: Date:</p>	
<p>Management Decision: <input type="checkbox"/> Granted <input type="checkbox"/> Not Granted No. of Days:</p> <p>Vice Chancellor: Date:</p>	

SICK SHEET

<p>NAME OF UNIVERSITY; The International Medical and Technological University: DATE:</p>
<p>To: The Doctor:</p> <p>.....</p> <p>Dispensary / Hospital</p>
<p>Kindly examine and treat:</p> <p>Mr./Mrs./Ms. Of our University who has come to you for treatment.</p> <p>Brief Description of the Illness:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>We will be grateful if you would kindly provide us with a brief report as below:</p> <p>Authorized Signature: Name:</p> <p>Designation: University Stamp:</p>
<p>To: Mr./Mrs./Ms. University:</p>

.....
I hereby certify that Mr./Mrs./Ms. Has
attended our Dispensary / Hospital and

is suffering from
.....
.....

He / She is able / unable to continue with work for days as he / she
has been admitted / treated in the Dispensary / Hospital and is required to rest.

Additional Remarks:

.....
.....
.....
.....

Signature of the Doctor: Name:

..... Date:

Dispensary / Hospital Stamp:

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

RETURN TO WORK INTERVIEW FORM

Name _____

Designation _____

Department _____

First Day of Absence ____/____/____

Last Day of Absence ____/____/____

Total number of days absent ____
work ____

Total number of days off
work ____

Is absence due to an injury at work? YES/ NO
YES/ NO

Have you seen a doctor?
YES/ NO

Reason for absence

(Please give a brief description of the illness or other reason for absence)

Action Taken

(please give a brief description of any action taken to date)

Proposed Course of Action

I understand that if I knowingly provide inaccurate or false information regarding my absence
it may result in disciplinary action

Employees Signature: Name
Date.....

HRM Signature: Name
Date.....

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

SICK LEAVE REGISTER

NAME OF EMPLOYEE:			DEPARTMENT:		
LEAVE CYCLE PERIOD:			FROM:		
			TO:		
TOTAL SICK LEAVE DAYS: 126			WITH FULL PAY: 63		
			WITH HALF PAY: 63		
DATE	DETAILS OF SICKNESS	ED FROM	TO	TOTAL DAYS	BALANCE

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

COMPANSSIONATE LEAVE REGISTER

NAME OF EMPLOYEE:		DEPARTMENT:			
LEAVE CYCLE PERIOD:		FROM:			
		TO:			
TOTAL COMPASSIONATE LEAVE DAYS: 4		LEAVE CAN BE TAKEN FOR: CHILD: SICKNESS OR DEATH SPOUCE: DEATH PARENT: DEATH GRAND PARENT: DEATH GRAND CHILD: DEATH SIBLING: DEATH			
DATE	DETAILS OF LEAVE	FROM	TO	TOTAL DAYS	BALANCE

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

MATERNITY LEAVE REGISTER

NAME OF EMPLOYEE:			DEPARTMENT:		
LEAVE CYCLE PERIOD:			FROM:		
			TO:		
TOTAL MATERNITY LEAVE DAYS: 84			EXPECTED DATE OF RETURN:		
DATE	DETAILS OF LEAVE	FROM	TO	TOTAL DAYS	BALANCE

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

PATERNITY LEAVE REGISTER

NAME OF EMPLOYEE:		DEPARTMENT:			
LEAVE CYCLE PERIOD:		FROM:			
		TO:			
TOTAL PATERNITY LEAVE DAYS: 3					
DATE	DETAILS OF BIRTH	FROM	TO	TOTAL DAYS	BALANCE

ANNUAL LEAVE POLICY

The University recognizes the right of employees to go for Annual leave after completion of 12 consecutive months of service.

GENERAL RULES:

1. Every employee shall be entitled to annual leave, which shall be granted once a year in accordance with the employee's leave cycle.
2. Annual leave will be 28 calendar days (inclusive of any public holidays that may fall within the period of leave).
3. Employee should go for 28 consecutive days.
4. The number of days mentioned in 3 above may be reduced by the number of days taken during the leave cycle which, at the request of the employee, has been granted to him/her as an emergency leave.
5. As deduction of wages is not permitted by law for absenteeism, the number of days an employee has remained absent without valid reason should be deducted from the annual leave.
6. Employee should not be asked to return back to work before the leave is over.
7. No leave encashment is allowed as per the practice stipulated by the labor laws and its amendments.
8. Leave must be taken at a mutually agreed time.
9. Leave can be differed for a maximum period of 12 months on mutual agreement.
10. An employee with less than 6 month in employment is not eligible for leave.
11. It is the responsibility of the respective Head of the Department to ensure that:
 - A replacement is available to effectively continue with the tasks of the employee going on leave.
 - A proper hand-over takes place at least 3 days prior to the employee proceeding for leave.

PROCEDURES:

FOR ALL STAFF:

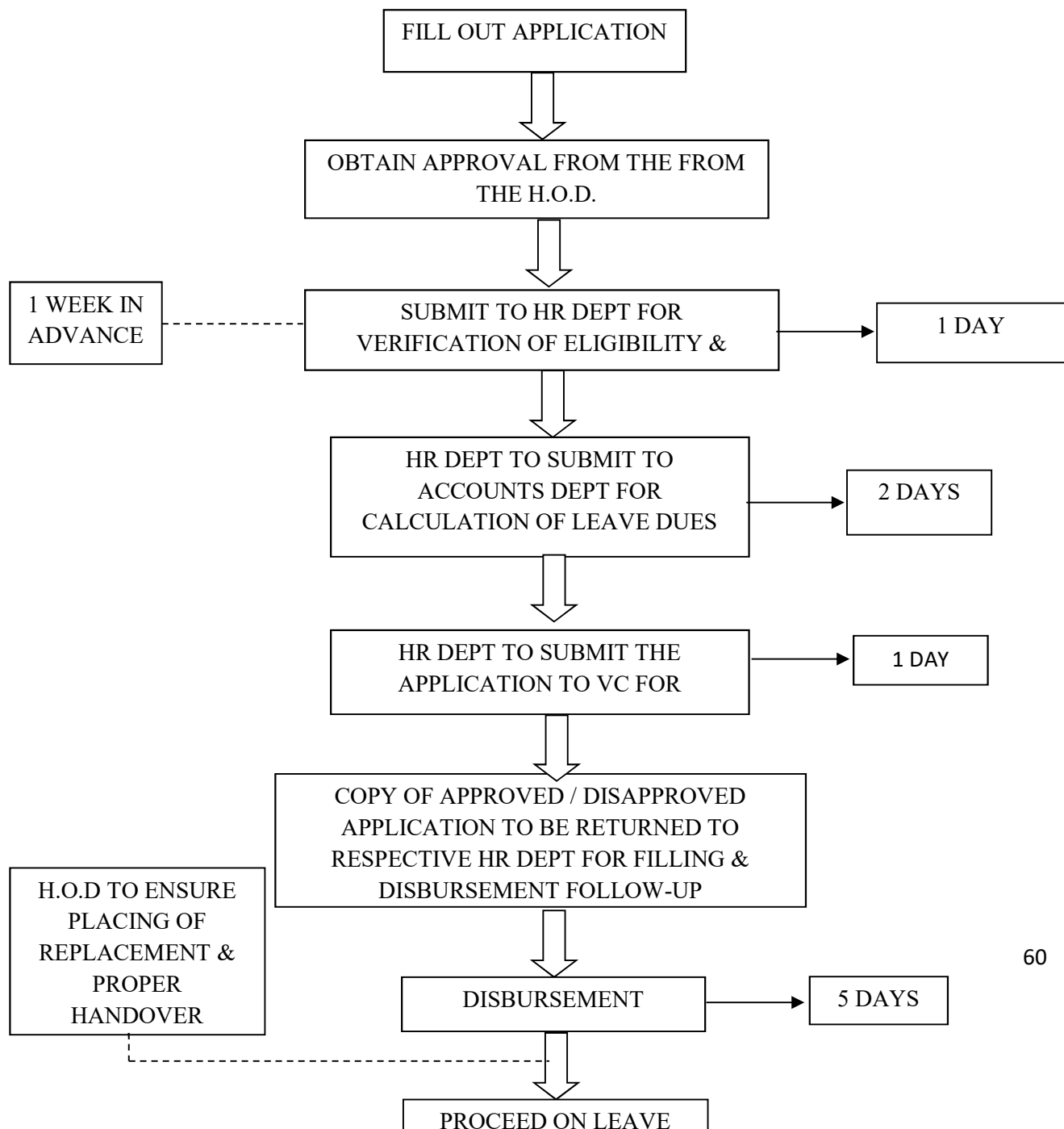
1. Fill out application form at least 2 week before the intended date of commencing leave.
2. Obtain approval from respective Head of Department.
3. Submit the application to the respective HR Dept. for verification of eligibility, leave balance etc. and recording in the Leave Register.
4. After verification, the HR Dept. should forward the application to the Finance Dept. for calculation of leave dues.
5. The application should then be submitted for approval.

6. The copy of the approved application should be sent to:
 - Finance Department for disbursement of leave dues.
 - HR Dept. for information.
7. The original form should be filed in the respective Personnel File.

The time frames for each stage of the above procedure is mentioned in the Process Flow Chart provided.

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

LEAVE APPLICATION PROCESS FLOW FOR LOCAL STAFF



INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

LEAVE APPLICATION FORM

UNIVERSITY:	DATE OF APPLICATION:
NAME OF EMPLOYEE:	DESIGNATION:
<p>I hereby apply for days Casual / Annual leave from To</p> <p>Reasons: </p> <p>My contact during the leave will be: </p> <p>I request to be paid my leave salary / advance salary for the month of amounting to Tshs..... </p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="text-align: center;"> Name Date </div> <div style="text-align: center;"> Signature </div> </div>	
FOR OFFICIAL USE ONLY: 1. TO BE FILLED BY THE HEAD OF DEPARTMENT	
<p>I recommend / not recommend to take days from _____ to _____</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="text-align: center;"> Name Date </div> <div style="text-align: center;"> Signature </div> </div>	

2. TO BE FILLED BY HR

Current Leave Cycle from to

Total No. of leave days.....

Total No. of Emergency / Casual Leave taken during the period

Balance Days Revised dates of leave from

..... To

.....

.....

.....

Name

Signature

Date

3. TO BE FILLED BY ACCOUNTS:

He / She has an outstanding debt of Tshs. Which is payable in
..... installments

at the rate of Tshs. Up-to

Leave dues payable are as follows:

Salary for the current month: _____

Leave salary / advance: _____

Leave Passage Allowance: _____

Total: _____ Which will be paid on _____

Name

Signature

Date

4. TO BE FILLED BY VICE CHANCELLOR:

☐

Granted

☐

Not Granted

Leave

☐

No. of Days: _____

Leave Salary / Advance

☐

Tshs.

Leave Passage Allowance

☐

Tshs.

Name

Signature

Date _____

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

ANNUAL LEAVE REGISTER

NAME OF EMPLOYEE: DEPARTMENT: DATE OF JOINING:				
DATE OF APPLICATION	LEAVE BALANCE	FROM	TO	APPROVAL

2.
3.
4.

DISCIPLINARY PROCEDURE

SCOPE

The University Disciplinary Procedure will be used only when necessary and as a last resort. Where possible, informal and/or formal counselling or other good management practice will be used to resolve matters prior to any disciplinary action being taken. The procedure is intended to be positive rather than punitive but takes cognizance of the fact that sanctions may have to be applied in some circumstances.

SUSPENSION

Suspension is not disciplinary action. The purpose of suspension is manifold and can be used when it is necessary to remove a member of staff from the workplace pending an investigation for example, to allow time for a 'cooling down period' for both parties, for their own or others protection, to prevent them influencing or being influenced by others or to prevent possible interference with evidence. Only The Head of Department in charge of that individual, at that time or their superior, have the authority to suspend an individual. During the period of suspension, the employee will continue receiving the salary.

An employee suspended from duty will receive written confirmation within three days of :

- the reason for the suspension
- the date and time from which the suspension will operate.
- the timescale of the ongoing investigation.
- the right of appeal to the immediate manager of the suspending manager should the suspension last more than 7 days

COUNSELLING

Counselling is an attempt to correct a situation and prevent it from getting worse without having to use the disciplinary procedure. Where improvement is required, the employee must be given clear guidelines as to:

- what is expected in terms of improving shortcomings in conduct or performance
- the time scales for improvement
- when this will be reviewed
- the employee must also be told, where appropriate, that failure to improve may result in formal disciplinary action.

A record of the counselling should be given to the employee and a copy retained in their personnel file. It is imperative that any counselling should be followed up and improvements recognized and recorded. Once the counselling objectives have been met, any record of the counselling will be removed from the employees file.

If during counselling it becomes clear that the matter is more serious, then the discussion should be adjourned, and pursued under the formal disciplinary procedure.

PROCEDURE FOR FORMAL INVESTIGATION

Formal investigations should be carried out by the most appropriate Head of Department who is not directly involved with the incident being investigated. This manager may involve others to assist with the investigation process. All the relevant facts should be gathered promptly as soon as is practicable after the incident. Statements should be taken from witnesses at the earliest opportunity. Any physical evidence should be preserved and/or photographed if reasonable to do so.

A report should be prepared which outlines the facts of the case. This should be submitted to the appropriate Deputy Vice Chancellor who will decide whether further action is required. Where appropriate, this report may be made available to the individual and their representative.

In most circumstances where misconduct or serious misconduct is suspected, it will be appropriate to set up an investigatory hearing. This would be chaired by the appropriate Deputy Vice Chancellor, who would be accompanied by another manager. The investigating manager would be asked to present his/her findings in the presence of the employee who has been investigated. Witnesses should be called at this stage, and the employee allowed questioning these witnesses. The employee has a right of representation at this hearing.

Following the full presentation of the facts, and the opportunity afforded to the employee to state his side of the case, the hearing should be adjourned, and everyone would leave the room except the Deputy Vice Chancellor hearing the case, and the other manager. They would discuss the case and decide which of the following option was appropriate:

1. Take no further action against the employee
2. Recommend counseling for the employee
3. Proceed to a disciplinary hearing

All parties should be brought back, and informed as to which option has been chosen.

Should the decision be taken to proceed to a disciplinary hearing, then this may follow on immediately from the investigatory hearing if the following criteria have been met:

- i. the employee has been informed by letter that the investigation may turn into a disciplinary hearing, and that he has the right of representation
- ii. he has been told in advance what the nature of the complaint is, and had time to consult with a representative
- iii. all the facts have been produced at the investigatory hearing, and The Head of Department / Director is in a position to decide on disciplinary action.
- iv. The Head of Department should inform the employee and their representative that the hearing would now become a formal disciplinary hearing, and invite them to say anything further in relation to the case.

It may be appropriate at this point to adjourn proceedings, whilst necessary arrangements are made for a representative to attend the hearing at the request of the employee.

Should anyone who is subject to disciplinary action resign during the course of it, the action will cease unless there are extenuating circumstances which require it's continuance. The subject of the discipline may also request that the disciplinary action continue.

WARNINGS

Examples of Minor Misconduct

Below are listed examples of misconduct which may warrant either a Verbal Warning or a First Written Warning. It is stressed however that this list is not exhaustive and that on all occasions a full and proper investigation must take place prior to the issue of a warning.

- Persistent lateness and poor time-keeping.
- Absence from work, including going absent during work, without valid reason, notification or authorization.
- Smoking within unauthorized areas.
- Failure to work in accordance with prescribed procedures.
- Incompetence.
- Unreasonable standards of dress or personal hygiene.
- Failure to observe University regulations and procedures.

Verbal Warning

A Verbal Warning is appropriate when it is necessary for The Head of Department in charge to take action against an employee for any minor failing or minor misconduct. All verbal warnings should be recorded in the personal file of the individual giving date and reason.

First Written Warning

A First Written Warning is appropriate when:

- i. a verbal warning has not been heeded and the misconduct is either repeated or performance has not improved as previously agreed.
- ii. an offence is of a more serious nature for which a written warning is more appropriate.
- iii. the recurrence or accumulation of an offence/offences, if left, will lead to more severe disciplinary action.

Examples of Gross - Misconduct

Listed below are examples of misconduct which may be considered to be Gross Misconduct and may warrant a Final Warning, Demotion or termination. It is stressed however that this list is not exhaustive and that on all occasions a full and proper investigation must take place prior to the issuing of a Final Warning, Demotion or Dismissal.

- i. Theft, including unauthorized possession of University property.
- ii. Breaches of confidentiality, prejudicial to the interest of the University,
- iii. Being unfit for duty because of the misuse/consumption of drugs or alcohol.
- iv. Refusal to carry out a management instruction which is within the individuals a capability and which would be seen to be in the interests of the University.
- v. Breach of confidentiality / security procedures.
- vi. Physical assault, breach of the peace or verbal abuse.
- vii. False declaration of qualifications or professional registration.
- viii. Failure to observe University rules, regulations or procedures.
- ix. Willful damage of property at work.
- x. Incompetence or failure to apply sound professional judgment.

Final Written Warning

A Final Written Warning is appropriate when:

- i. an employee's offence is of a serious nature falling short of one justifying termination.
- ii. an employee persists in the misconduct which previously warranted a lesser warning.

Downgrading or Transfer to another Post

This action is appropriate when:

- i. previous attempts, via the disciplinary procedure, to rectify a problem have failed and this is a final attempt to solve a problem without having to dismiss an employee.
- ii. an employee is considered by The Head of Department of the department to be incompetent or otherwise unfit to fulfill the duties for which he is employed but where dismissal is not thought to be appropriate.

Termination:

Termination is appropriate when

- i. an employee's behavior is considered to be Gross Misconduct.
- ii. an employee's misconduct has persisted, exhausting all other lines of disciplinary procedure.

Time Scales for the expiry of Warnings

Warnings issued to employees shall be deemed to have expired after the following periods of time.

- i. Verbal Warnings: 3 months
- ii. First Written Warnings: 6 months
- iii. Final Written Warnings: 6 months (or as agreed and recorded at the hearing)

These time scales remain provided that during that period, no further warnings have been issued in respect of the employee's conduct.

LETTER OF WARNING

All Warnings must contain the following information:

- i. Date, time and area where the offence has occurred.
- ii. Reference to the previous warning(s) if any.
- iii. Name and designation of the witness.
- iv. The nature of the offence and where appropriate, that if further misconduct occurs, more severe disciplinary action will be taken.
- v. The period of time given to the employee for improvement.

- vi. The employees right to appeal to the VC directly above that of the one issuing the warning.

IMPORTANT:

- i. The letter must be issued within 7 days of the date of the disciplinary hearing.
- ii. A copy of the warning and any supporting documentation must be attached to the individuals personnel file.

Offence	Type of Warning	Procedure
<ul style="list-style-type: none"> Late for work for more than 15 minutes at any time. Leaving work place without permission. General time keeping offence (signing of attendance register). Absence from work without permission or acceptable reason. 	1 st offence – Verbal 2 nd offence – 1 st Written Warning 3 rd Offence – 2 nd Written Warning Habitual Offender – Termination	<ul style="list-style-type: none"> For verbal, 1st and 2nd warning call the person to the office, explain the allegations, give opportunity to defend, counsel and set time frames for improvement. For habitual offender, conduct investigation, hold an inquiry, explain allegation, give opportunity to defend, take decision and give the outcome in writing along with minutes of the hearing. The accused can be suspended (with full pay) during the course of investigation. In all the above (except verbal warning) the accused has 5 working days to appeal to the Senior Manager. After the appeal period (whether there is an appeal or not) confirm the decision. 69 <p>N.B:</p> <ul style="list-style-type: none"> Please use the prescribed formats provided. Please seek assistance/advice
<ul style="list-style-type: none"> Failing to carry out the reasonable instructions from a superior. 	1 st offence – Verbal 2 nd offence – 1 st Written Warning 3 rd Offence – 2 nd Written Warning Habitual Offender – Termination	
<ul style="list-style-type: none"> Poor performance without acceptable reason. Doing unauthorized private work. 	1 st Offence – Warning Letter 2 nd Offence – Termination	
<ul style="list-style-type: none"> Causing minor damage or loss of the employer's property, or other properties related to work. Minor Misuse or neglect of the employer's property. <ul style="list-style-type: none"> Motor Vehicles. Machinery. Environment. 	1 st offence – Warning Letter 2 nd offence – Termination.	

<ul style="list-style-type: none"> - Working Tools. - Office Equipment. 		from the Disciplinary Committee before taking any action.
Unacceptable behavior towards customers, management, clients, fellow employees.	1 st offence – Warning Letter. 2 nd Offence – Warning Letter 3 rd Offence – Termination	<ul style="list-style-type: none"> • All formal hearings must be handled by the Disciplinary Committee. • The Chair of the Disciplinary Committee must be involved in all disciplinary actions.
General offences and breaches of the organizational rules and policies. <ul style="list-style-type: none"> - Not wearing uniform, safety gear etc. - Endangering safety of others. 	1 st offence – Warning Letter. 2 nd Offence – Warning Letter 3 rd Offence – Termination	<ul style="list-style-type: none"> • All warnings will have a validity of 6 months.

- vii. The employee must also receive a copy of the warning which in the case of any written warning will be sent to their home address by recorded delivery if not handed to them in person.
- viii. In the case of a final written warning, reference must be made to the fact that any further misconduct will lead to dismissal, and that the employee has the right of appeal, and to who they can make that appeal.

The letter confirming termination will contain the following information:

- i. The date and reason for termination and any administrative matter arising from the termination of their employment.
- ii. The employees right of appeal and to whom they should make that appeal

APPEALS

Every employee has the right to appeal against the outcome of a disciplinary hearing. The basis of an appeal should normally relate to one of the following areas:

- i. that the University's' Procedure had not been followed correctly.
- ii. that the resulting disciplinary action was inappropriate.
- iii. that the need for disciplinary action was not warranted.
- iv. that new information regarding disciplinary action, has arisen

An appeal should be put in writing and the letter of appeal may be constructed by the employee. The letter should contain the grounds for appeal and should be lodged within 10 days of receipt the warning / dismissal letter.

An appeal will be arranged within 7 working days of receipt of the appeal letter.

Appeals against Verbal and First Warnings

DISCIPLINARY CODE

Area	Offence	Procedure
Absence	<ul style="list-style-type: none"> • Absence from work without permission or acceptable reason (more than 5 working days). 	<ol style="list-style-type: none"> 1. Conduct investigation regarding the incident / offence (to be conducted by the immediate supervisor / manager). 2. Once the evidence/witness has been gathered, inform the Disciplinary Committee for a need of a hearing. 3. Inform the accused (in writing) of the allegation, suspension (if necessary), date, time & venue of the hearing and his rights of being accompanied by a co-employee. 4. During the hearing: <ul style="list-style-type: none"> • Take attendance of all present and get their signatures. • Inform the accused of his rights; • Inform the co-employee of his duties & his rights; • Present all evidences and witnesses. • Allow the accused to cross examine the witnesses. • Allow the accused to present his case and produce evidence / witnesses to counter the allegations.
Work Performance	<ul style="list-style-type: none"> • Habitual or willful negligence in the performance of work. • Totally unacceptable work performance or behavior, or consistent below average performance despite at least 2 written warnings. • Dishonesty or any other major breach of trust. 	
Property	<ul style="list-style-type: none"> • Causing serious damage to or loss of the employer's or other property (belonging to employees, customers, clients), either through gross negligence or willful damage. • Theft or unauthorized possession of the employer's property or other property (belonging to employees, customers, clients). • Misappropriation of organizational funds. 	
Behavior	<ul style="list-style-type: none"> • Abusive behavior, assaults, threatened assaults or other 	

	<p>totally unacceptable conduct towards other employees, customers, management or clients.</p> <ul style="list-style-type: none"> • Being under the influence of alcohol or drugs whilst at work, or consuming alcohol or drugs whilst on duty. 	<ul style="list-style-type: none"> • Cross examine the accused witnesses. • Take down minutes and the entire proceedings. • At the end of the hearing, ask the accused to leave the room and give him the time / date to collect the outcome. • Deliberate on the proceedings and reach a unanimous decision on the outcome.
General	<ul style="list-style-type: none"> • Other serious breaches of organizational rules or policy, which have the effect of causing an irretrievable breakdown in the employment relationship. • Criminal convictions relating to an offence which impacts, directly or indirectly on the employment relationship. 	<ol style="list-style-type: none"> 5. Communicate the outcome of the hearing in writing to the accused and attach a copy of the proceedings. 6. Inform the accused of the right to appeal and time frame of 5 working days. 7. At the end of the appeal period (and after the considering the appeal), confirm / amend the appeal in writing. 8. If it termination, prepare the terminal dues and pay. 9. Inform the accused of the next stage of appeal. <p>N.B:</p> <ul style="list-style-type: none"> • Please use the prescribed formats provided. • Please seek assistance/advice from the Disciplinary Committee before taking any action.

PROPOSED DISCIPLINARY COMMITTEE:

CHAIRMAN: DVC ADMINISTRATION

MEMBER: RESPECTIVE HEAD OF DEPARTMENT

MEMBER: HR MANAGER

MEMBER: RESPECTIVE SUPERVISOR (WHO CONDUCTS THE INVESTIGATION)

MEMBER: ONE EMPLOYEE REPRESENTATIVE.

ONE TRADE UNION REPRESENTATIVE

APPEAL REVIEW: VICE CHANCELLOR

TERMS OF REFERENCE – DISCIPLINARY COMMITTEE:

1. Handle all disciplinary issues.
2. Ensure that all disciplinary procedures are followed when handling the cases.
3. Ensure that all disciplinary matters are dealt with promptly.
4. All employees are treated fairly and consistently.
5. Maintain confidentiality in all matters related to any particulars of a case.
6. Ensure that disciplinary actions are used as corrective measures rather than punishment.
7. Handle grievances as per the laid down procedures.

GRIEVANCE PROCEDURES:

1. OBJECTIVES:

- (i) To provide for a process for resolving employee's grievances.
- (ii) To settle grievances as near as possible to the point of origin.
- (iii) To ensure that the grievances are treated seriously and are resolved as soon as possible.
- (iv) To ensure that employees are treated fairly and consistently.

2. IMPORTANT:

- (i) Management and employees, at all levels shall give careful consideration to grievances raised and use conflict resolution skills to resolve grievances.
- (ii) All parties should treat one another with sensitivity and respect.
- (iii) Where a grievance is lodged, an employee's employment should not be prejudiced in any way whatsoever.

3. PROCEDURES:

(i) Informal Stage:

At this stage, the employee will raise his/her grievance with the immediate supervisor / line manager.

- i. Meet the aggrieved in a secure area.
- ii. Take details of the incident e.g. date, time, location etc.
- iii. Listen carefully to the complaint and ask the aggrieved to provide evidence / witness.
- iv. Liaise with the Chair of Disciplinary Committee for the way forward.
- v. Call both parties to the table (at this point, the aggrieved has to be informed of his/her right to be accompanied by a colleague).
- vi. Discuss the complaint.
- vii. Give the accused an opportunity to defend.
- viii. Try and reconcile / resolve the matter amicably.

NB: The time frame to resolve the issue at this stage is 5 working days.

(ii) Formal Stage:

This stage is applicable if:

- If the aggrieved is not satisfied with the efforts of the immediate supervisor / line manager OR
 - The accused is the immediate supervisor / line manager.
- i. The aggrieved should fill out a formal grievance form (prescribed) which should indicate the solution / remedy sought by the aggrieved.
 - ii. If it concerns a co-employee, then the immediate supervisor / line manager should fill out the 2nd part indicating the measures taken to resolve the issue.
 - iii. The form should then be forwarded to the Disciplinary Committee for further action.
 - iv. The Disciplinary Committee will then call a meeting with all concerned (aggrieved, accused, supervisor etc.) and agree / decide on the course of action e.g. Reconciliation, Disciplinary Action, Hearing etc.
 - v. In case of Disciplinary Action is to be taken or a formal hearing is to take place, then the normal procedure for that action will be followed.

NB: (i) The time frame to resolve the issue at this stage is 10 working days.

If the aggrieved, is still not satisfied with the outcome, he/she can refer the matter to the Law.

WRITTEN WARNING FORM

Ref No _____

NAME OF EMPLOYEE: _____ DEPT: _____

WARNING NO: 1 / 2 / 3 PREVIOUS WARNING REF NO: _____

DATE OF OFFENCE: _____ TIME: _____ AREA: _____

REASON FOR GIVING THE WARNING:

WITNESS: _____

DESIGNATION: _____

WITNESS: _____

DESIGNATION: _____

Please Note:

- You are hereby given _____ days to improve yourself.
- Any further breach of disciplinary code will result in sever disciplinary action being take against you.
- In case you are not satisfied with the warning letter and wish to appeal, you can do so within 5 working days of the date of this warning and you can appeal to Mr. _____ on a prescribed format.

DATE OF ISSUE: _____

AUTHORIZED PERSON'S NAME: _____

EMPLOYEES NAME: _____

SIGNATURE: _____

DATE: _____

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

EMPLOYEE APPEAL FORM

TO BE COMPLETED WITHIN FIVE DAYS OF RECEIVING A WARNING.

TO: _____

I WISH TO APPEAL AGAINST THE WRITTEN WARNING REF NO. _____
ISSUED TO ME ON _____ FOR THE FOLLOWING REASONS:

THE REASON FOR THE APPEAL IS:

EMPLOYEES NAME: _____

SIGNATURE: _____

DATE: _____

.....
.....

NAME OF THE PERSON RECEIVING THE APPEAL:

SIGNATURE: _____ DATE: _____

AFTER REVIEWING THE APPEAL I HAVE REACHED THE FOLLOWING DECISION:

☐ RECONFIRM THE WARNING ☐ REDUCE WARNING TO VERBAL WARNING
☐ FORGIVE

REASON FOR THE ABOVE DECISION:

AUTHORIZED PERSON'S NAME:

SIGNATURE: _____ DATE: _____

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

DISCIPLINARY HEARING FORM

NAME OF EMPLOYEE: _____ DEPT: _____

CHAIRPERSON: _____

DESIGNATION: _____

SUMMARY OF ALLEGATIONS AGAINST THE EMPLOYEE:

DATE AND TIME THE EMPLOYEE WAS INFORMED OF THE ENQUIRY:

DATE: _____ TIME: _____

PERSONS PRESENT AT THE ENQUIRY (EXCLUDING WITNESS) AND THEIR
DESIGNATION:

NAME _____

SIGNATURE _____ DESIGNATION _____

NAME _____

SIGNATURE _____ DESIGNATION _____

NAME _____

SIGNATURE _____ DESIGNATION _____

BRIEF SUMMARY OF THE EMPLOYEE'S RESPONSE TO THE ALLEGATIONS:

[illegible]

MAIN POINTS OF EVEDENCE (STATE NAMES AND DESIGNATIONS OF THE WITNESSES):

This image shows a single sheet of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page. There are approximately 20 lines visible. The paper has a slight shadow on the right side, suggesting it's resting on a surface.

COUNTER EVIDENCE / CROSS EXAMINATION BY THE ACCUSED:

CHAIRPERSON'S FINDINGS BASED ON THE EVIDENCE PRESENTED:

RELEVANT FACTORS TO BE TAKEN INTO ACCOUNT IN DECIDING ON
APPROPRIATE SANCTION:

OUTCOME OF THE HEARING:

CHAIRPERSON'S SIGNATURE: _____

DATE: _____

EMPLOYEE'S SIGNATURE: _____

DATE: _____

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

APPEAL FORM AGAINST OUTCOME OF THE HEARING

TO BE COMPLETED WITHIN FIVE DAYS OF RECEIVING THE OUTCOME.

TO: _____

I WISH TO APPEAL AGAINST THE OUTCOME OF THE HEARING HELD ON
_____ FOR THE FOLLOWING REASONS:

IN TERMS OF THE APPEAL, I ASK THAT THE FOLLOWING ACTION BE TAKEN:

EMPLOYEES NAME:

SIGNATURE: _____ DATE: _____

NAME OF THE PERSON RECEIVING THE APPEAL:

SIGNATURE: _____

DATE: _____

AFTER REVIEWING THE APPEAL I HAVE REACHED THE FOLLOWING DECISION:

☐

RECONFIRM THE ACTION

☐

REDUCE THE ACTION TO

☐

FORGIVE

REASON FOR THE ABOVE DECISION:

AUTHORIZED PERSON'S NAME:

SIGNATURE: _____ DATE: _____

GRIEVANCE PROCEDURE

The grievance procedure is intended as the tool by which a member of staff may formally have a grievance, regarding any condition of their employment, heard by the management of the University. The aggrieved employee has the right to representation by a Trade Union Representative or a colleague.

In the event of a member of staff wishing to raise a grievance, it is preferable for the grievance to be satisfactorily resolved as close to the individual and their Head of Department as possible in an informal manner. It is understood however that this is not always possible and that a formal procedure is required to ensure the swift and fair resolution of matters which aggrieve the employees.

Time scales have been fixed to ensure that grievances are dealt with quickly, however these may be extended if it is agreed upon by both parties.

This procedure is not intended to deal with:

1. Dismissal or disciplinary matters which are dealt with in a separate procedure.
2. Disputes, which are of a collective nature and which are dealt with in a separate procedure.

Stage 1

An employee who has a grievance, should raise the matter with his manager immediately either verbally or in writing. If the matter itself concerns the employees immediate manager, then the grievance should be taken to their superior.

If the Head of Department is unable to resolve the matter at that time then a formal written grievance form should be submitted (see appendix 1). The Head of Department should then respond within **2 working days** (i.e. The Head of Departments normal working days) to the grievance unless an extended period of time is agreed upon by both parties. The response will give a full written explanation of the decision and who to appeal to if still aggrieved.

Stage 2

In most instances the University would expect the decision to be final and for the matter to come to a close. However, in some circumstances the employee may remain aggrieved and can appeal against the decision of the Head of Department concerned.

The appeal, to the Head of Department next in line, must be made within five working days of the original response to the employees' grievance. The appeal must be in writing. This manager will attempt to resolve the grievance. A formal response and full explanation will be given in writing, as will the name of the person to whom they can appeal if still aggrieved, **within 7 days**.

If the employee is not satisfied with the outcome, he / she can refer the matter to the Commission for Mediation and Arbitration

FORMAL GRIEVANCE FORM

PART I

(To be filled by the employee lodging the grievance in terms of Stage 2 of the Grievance Procedure)

Name of the Employee: _____ Sex: _____

Cause of Grievance:

Solution Sought:

Signature of the employee: _____ Date: _____

PART II

(To be completed by the Head of Department dealing with the grievance in the informal grievance stage and stage one of the formal grievance procedures.

Date Received: _____ Name of the Head of Department: _____

Steps taken to resolve grievance:

Comments about the grievance:

Remedy proposed by the Head of Department dealing with the grievance:

Outcome:

Manager's Signature: _____ Date: _____

PART III

(To be completed by the Head of Department dealing with the grievance in terms of Stage 2 of the procedure)

Date Received: _____ Name of the Head of Department: _____

Comments about the grievance:

Outcome:

Senior Manager's Signature: _____ Date: _____

Signature of the employee: _____ Date: _____

CAPABILITY PROCEDURE

1. INTRODUCTION:

Definition:

For the purpose of this Capability Procedure, capability is defined as:

"Where a member of staff is failing in a significant or persistent way to carry out their responsibilities or duties in a satisfactory manner, either due to a lack of ability, incompetence, inadequate training or lack of experience. Such failings will be identified by use of the following procedures and steps taken to improve performance. Where such steps prove unsuccessful the member of staff may have their employment terminated on the grounds of incapacity".

The procedures set out in this document aim to ensure that there is:

1.A means of monitoring performance and establishing performance criteria. It is the responsibility of the Management to carry out Performance Appraisal on a regular basis and follow-up on the time-frames set-up for improvement. Ideally, the appraisal should be carried out as bellow:

- New staff: 3 months from the date of commencement.
- Other staff: Every 6 months.

2. A degree of consistency in how staff with widely differing responsibilities and duties are given opportunities to attain satisfactory levels of performance.

3. Assistance in identifying the most appropriate form(s) of support and providing that support.

4. If a member of staff fails to overcome their difficulties, any consequent action will be based on:

- Adequate evidence that the member of staff is incapable of performing their duties satisfactorily.
- A fair procedure.
- The fact that the member of staff was given all reasonable assistance to overcome such failings.

2. PROCEDURE:

Stage 1 - Informal Procedure:

Where an employee of the University exhibits an inability to perform their duties satisfactorily, the University will attempt to resolve the matter informally via a meeting between the Head of department and the member of staff. The nature and date of the meeting will be recorded and a letter sent to the member of staff indicating the nature of their unsatisfactory performance and how such performance can be improved to the satisfaction of the Head of department. The member of staff should be informed that they may be accompanied at any meetings by a colleague.

At this meeting, the Head of Department will agree performance standards with the member of staff, and a time period (normally three months) over which improvement will be expected. They will also agree how the individuals' performance will be monitored.

If the individuals' performance improves adequately over the timescale, then the process will terminate at this stage. If performance remains unsatisfactory, then the formal procedure will be invoked by the Head of Department as set out in stage 2.

Stage 2 - Formal Procedure - Information Collection:

The Senior Manager / Director of the Head of Department concerned may call on the support of an external advisor or another member of the Management Team, to undertake collecting the necessary information. They would be expected to interview the member of staff concerned and the Head of Department, as well as any other appropriate individuals. The member of staff should be informed that they may be accompanied at any meetings by a trade union representative or colleague.

A written report based on evidence gained e.g. by interviews and observation of performance will be prepared by the advisor / Manager. The report should be precise and specific in the observations and comments it makes and shall contain clear information on:

1. areas where the member of staff is failing to perform adequately
2. actions already taken by management to address these failings and whether these actions were adequate - i.e. were clear performance standards set and monitored
3. whether the member of staff acknowledges a problem and shows a willingness to improve
4. the impact of the individuals failings on colleagues and work output
5. any other mitigating factors

The report should be given to the member of staff concerned and to the Head of the Department. Both may record in writing any comments on the observations contained within the report.

The Deputy Vice Chancellor will consider the report, and may opt to take one of the following options:

- no further action
- instruct the Head of the Department to set reasonable performance standards for the individual and monitor these for a set period of time. *(This option should be chosen if this has not previously been carried out adequately and at least three months given to improve)*
- convene a formal hearing to consider the matter further

Stage 3 - Capability Hearing

The Deputy Vice Chancellor will write to the member of staff informing them of the date of the hearing, attaching any relevant documentation. The letter shall contain:

- i. The performance deficits in sufficient detail to ensure that the member of staff fully comprehends their nature, extent and seriousness.
- ii. The time, date and venue of the interview.
- iii. The person who will conduct the interview, usually the Deputy Vice Chancellor
- iv. A statement that all employees have the right to be accompanied by a trade union or other representative at any interview or hearing held under the provision of these procedures.
- v. At least 48hrs notice of the hearing.

At the hearing, the member of staff will be given the opportunity to put forward a defense, to bring witnesses in support of their defense, to present mitigating circumstances and to make a full statement. A written copy of the procedure to be adhered to during the hearing should be made available to the member of staff before the hearing takes place.

If the allegation is found to be justified, then a decision on the action to be taken must be made. Depending on the nature, frequency and seriousness of the allegation(s) it is expected that at this stage a Warning will be given and this will be confirmed in writing.

A letter should be sent to the member of staff confirming the decision and the reason(s) why it was made. The letter will also indicate that the member of staff's progress will continue to be monitored and how this will be carried out. A time scale for performance to improve and a review date(s) will be specified.

If the failings are found to be not sufficiently serious to warrant a formal warning or where there are mitigating circumstances, then monitoring should be discontinued subject to a clear indication to the member of staff that it may be reintroduced if the problem(s) reappear.

Stage 4 - Second Capability Hearing:

If poor performance continues, the process set out in stage 3 should be repeated. The time scale for improvement will depend on the nature of the duties and responsibilities of the employee concerned and the seriousness of the complaint(s).

If the conclusion of the second hearing is that performance has not sufficiently improved and that there is still evidence of incapability despite support and prior warnings, a final warning should be issued.

The letter confirming the decision as well as covering the points made at Stage 3, should clearly state that if an improvement is not forthcoming, the University will convene a final meeting at which it will consider terminating the contract of the member of staff involved on the grounds of capability.

Stage 5 - Third Capability Hearing:

The appropriate Director will conduct the third hearing at which if previous advice, training and warnings have not had the desired effect, he/she will terminate the contract of the employee concerned. The procedures outlined in Stage 3 will be followed.

3. APPEALS:

An appeal against any decision to terminate the employee's contract of employment on the grounds of capability should be made in writing within 5 days of the decision. The employee's appeal will be heard by a Committee of University Managers / the Chief Executive. Decisions made on appeal shall be final.

4. LONG-TERM/PERSISTENT ILLNESS:

Where any shortfall in expected performance arises from long term or persistent illness the University shall refer to the control of absence policy .

Important: Samples of the formats to be used e.g. warning letters, appeal forms, hearing forms and format of the hearing minutes are provided in the disciplinary procedures section.

PERFORMANCE REVIEW FORM

NAME OF EMPLOYEE	DESIGNATION
SECTION	DATE OF JOINING
PERIOD UNDER REVIEW	DATE OF REVIEW
REVIEWERS NAME	DESIGNATION

❖ PERFORMANCE RATINGS

The four tier performance rating has been defined below to serve as a guideline for the reviewer to assess the employee's performance level.

E – EXCELLENT	<i>Performance has been at a highly competent level. Employee has excelled in applying knowledge / skills to responsibilities and often performed above expected performance level.</i>
G – GOOD	<i>Performance year has met expectations well for competence, quality and quantity of work</i>
M – MARGINAL	<i>Performance has <u>not</u> met position requirements for most of key responsibilities.</i>
P – POOR	<i>The performance has been poor throughout the period and there has been no initiative to improve the quality of work.</i>

❖ NUMERICAL SCALE

The performance rating structure has a parallel numerical scale as follows:

Excellent 10 – 9	Good 8 – 7	Marginal 6 – 5	Poor 4 - 0
---------------------	---------------	-------------------	---------------

The purpose of this numerical scale is to facilitate the reviewer to determine the overall rating objectively.

Section I: Key responsibilities and Work Goals / Targets carries 60% weightage for the overall rating.

Section II: Performance competencies carries a 40% weightage for the overall rating.

SECTION I: KEY RESPONSIBILITIES AND WORK GOALS / TARGETS (For the
Period _____ to _____)

A. KEY RESPONSIBILITIES / WORK GOAL List major responsibilities and related assignments and key work goals / targets.(a)	B. WEIGHTAGE Assign weightage for each responsibility / work goal. 0 -10 (b)	C. OVERALL REVIEW Assess the level of overall performance for each responsibility / work goal and state facilitating / inhibiting factors in the extent to which targets set have been achieved.(c)	E. LEVEL OF PERFORMANCE		
			Rating	Score	Weighted Score
			(d)	(e)	[f=(bxe)]

Total

Total Weighted Score

Performance Score for Section I

ECTION II: PERFORMANCE COMPETENCIES

Consider the extent to which a worker demonstrates the following performance competencies in his / her responsibilities in terms of overall level of performance.	Comments (In case of Outstanding or Marginal rating)	Level of Performance	
		Rating	Score
A. SKILLS			
(a) Work Knowledge: Extent of knowledge and understanding of principles and practices pertaining to work.			
(b) Planning & Organizing: Ability to logically and effectively schedule, implement and maintain production plan.			
(c) Decision Making: Ability to identify and analyze problems, and take appropriate decisions to resolve issues.			
(d) Initiatives: Extent to which performance barriers are removed independently, and efforts made towards quality output.			
B. PERSONAL EFFECTIVENESS			
(a) Team Worker: Ability to work cooperatively with peers and others to accomplish responsibilities.			
(b) Attendance: Has been regular in his attendance.			
(c) Punctuality: Has been punctual in reporting to work.			

(d) <i>Completion of Tasks:</i> Ability to fulfill assigned tasks within specified time.			

Total Score:

X 0.4

Performance Score
For Section II

SECTION III OVERALL PERFORMANCE

A. Total Performance Score = Sum of Performance Scores for Section I and Section II:

B. Please mark (✓) for the Employee’s overall performance rating based on Total Performance Score (noted above)

100 – 85		84 – 70		69 - 50		49<	
EXCELLENT		GOOD		MARGINAL		POOR	

SECTION IV PERFORMANCE SUMMARY

Reviewers Comments:

Please include a brief summary of your own appraisal of the employee's performance during the period under review.

____NAME & SIGNATURE

____DESIGNATION

____DATE

SECTION V: Meet with the Employee and go through the Appraisal in detail and get his comments:

Employee's Comments:

I agree / disagree with the above review.

The reasons / inhibiting factors that affect my performance are:

____NAME & SIGNATURE

____DESIGNATION

____DATE

SECTION VI: Agree a Plan Of Action e.g. Training, support in terms of tools , improvement methods etc. and set time frames for implementation.

Plan Of Action:

Area	Employee's Responsibility	Employer's Responsibility	Time Frame For Review

SECTION VII: MANAGEMENT DECISION

Recommended salary increment:

EXCELLENT	GOOD	MARGINAL	POOR
25%	15%	No Increment	Should be Replaced

DIRECTOR

DISPUTES PROCEDURE

1. POLICY

A dispute is a collective grievance raised by more than one member of staff.

The University attaches great importance to the establishment of clear procedures for settling disputes with employees which cannot be resolved through normal management processes.

2. DISPUTES PROCEDURE

Disputes should be settled at the lowest possible operational level, within the following framework:

- i. referral to the individual or manager responsible for the staff who are in dispute;
- ii. referral to the Vice Chancellor;

Should the above arrangements be unable to resolve the dispute, referral to Commission for Mediation and Arbitration.

- i. by either party to the dispute for conciliation;
- ii. by **joint** agreement of the parties to the dispute for arbitration.

3. STATUS QUO WORKING

The status quo working arrangement, that is the conditions in place immediately before the dispute was raised, shall operate until the agreed disputes procedures have been exhausted.

4. TIME LIMITS

It is in the interest of both the University and its employees that disputes should be resolved quickly. The University believes that a dispute should be resolved within two weeks of the date it was lodged.

5. PROCEDURES

NOTICE OF A DISPUTE

This form should be completed by an employee / trade union, to register that a dispute exists. It should be handed to the Head of Department of the Department where the disagreement has arisen. A copy should also be sent to the Head of Department with responsibility for that Department.

PARTIES

Employees (names):

Section:

Employees representative (name)::

Manager (name):

Designation:

NATURE OF DISPUTE

What are the points of disagreement between management and employees.

SOLUTIONS SOUGHT

Please suggest the solutions sought to amicable resolve the dispute:

HEALTH, SAFETY AND WELFARE POLICY

1. STATEMENT OF GENERAL POLICY

1.1 The University fully accepts the obligations placed upon it by the various Acts covering health, safety and welfare. The University requires its Managers to ensure that the following policy is implemented and to report annually on its effectiveness.

2. MANAGEMENT ORGANISATION AND ARRANGEMENTS

Introduction

2.1 This policy has been prepared and published under the requirements of Health & Safety at Work legislation. The purpose of the policy is to establish general standards for health, safety and welfare at work and to distribute responsibility for their achievement to all managers, supervisors, and other employees through the normal line management processes.

3. MANAGEMENT RESPONSIBILITIES

Directors

3.1 The Directors have overall responsibility for the implementation of the University's policy. In particular they are responsible for ensuring that the policy is widely communicated and that its effectiveness is monitored.

Senior Managers

3.2 These managers are wholly accountable to the Directors for the implementation and monitoring of the policy within the area of their specified responsibility.

Admin Manager / Safety Officer

3.3 The Admin Manager / Safety Officer is a nominated manager responsible for coordinating effective health and safety policies and controls across the organization.

3.4 The Admin Manager / Safety Officer is responsible for:

- The production and maintenance of the University's policy and ensuring that Department Guidelines are consistent with policy;

- Its application;
- monitoring and reporting on the effectiveness of the policy;
- The provision of general advice about the implication of the law;
- The identification of health and safety training needs. The safety officer also acts on behalf of the Directors, as the University's formal link with the Health and Safety, Environment Health Departments and other external agencies;
- The production and maintenance of Health and Safety Codes of Practice for each aspect of the services within the University.

4. HEALTH AND SAFETY MANAGEMENT PROCESS

4.1 The University believes that consideration of the health, safety and welfare of staff is an integral part of the management process. The provision of the Health and Safety at Work Act, will be adopted as required standards within the University. Responsibility for Health, Safety and Welfare matters shall be explicitly stated in management job descriptions.

4.2 The University requires managers to approach Health, Safety and Welfare in a systematic way, by identifying hazards and problems, planning improvements, taking executive action and monitoring results so that the majority of Health, Safety and Welfare needs will be met in the shortest time possible.

4.3 For major additional expenditure, cases of need will be submitted by the Vice Chancellor to the Founder.

4.4 If unpredictable Health and Safety issues arise during the year, the Directors must assess the degree of risk, in deciding the necessary resources and actions to commit to addressing these issues.

5. HEALTH, SAFETY AND WELFARE GUIDELINES

5.1 It is the policy of the University to require departmental managers to produce appropriate Health, Safety and Welfare policies or guidelines. These should embody the minimum standards for Health, Safety and Welfare for the department and the work organised within it.

5.2 It shall be the responsibility of the HOD to bring to the attention of all members of his or her staff, the provisions of the guidelines, and to consult with appropriate Health and Safety representatives about the updating of these guidelines. The model contents of a guideline are:

- i. A clear statement of the role of the department;
- ii. Regulations governing the work of the department;
- iii. Clear reference to safe methods of working, for example nursing procedures, manufacturers' manuals;
- iv. information about immediate matters of Health, Safety and Welfare concern, such as fire drills, fire exits, first aid;
- v. Training standards;
- vi. The role and identity of the Health and Safety representative (where applicable)
- vii. Names of specialist advisers who can be approached about the work of the department;
- viii. The Head of Department responsible for organization and control of work;
- ix. Accident reporting procedures;
- x. Departmental safety rules;
- xi. Fire procedures;
- xii. Policies agreed by the University.

6. IDENTIFICATION OF HEALTH AND SAFETY HAZARDS AND PROBLEMS

6.1 It is the policy of the University to require a thorough examination of Health, Safety and Welfare performance against established standards in each department, at least annually. The technique to be adopted for such examinations will be the 'Safety Audit'. The Audit requires review of:

- i. Standards laid down in the policy;
- ii. Departmental guidelines;
- iii. Relevant regulations;
- iv. Environmental factors;
- v. Staff attitudes;
- vi. Staff instructions;
- vii. Methods of work;
- viii. Contingency plans;
- ix. Recording and provision of information about accidents and hazards.

6.2 The information obtained by the Audit will be used to form the basis of the plan for the department for the following year. Audits must be completed by July of each year.

6.3 The responsibility for ensuring that audit activity is carried out as part of this policy rests with the Vice Chancellor and will be carried out by the Vice Chancellor / Safety Officer. Although the Audit remains a management responsibility, managers are required as part of this

policy to seek the involvement of the appropriate Health and Safety representative in the conduct of the Audit.

6.4 It is the management's responsibility to ensure that any deficiencies highlighted in the Audit are dealt with as speedily as possible.

6.5 In addition to carrying out Safety Audits, it is the responsibility of the department manager to check, at least quarterly, all portable equipment, including electrical appliances, in their area, and to ensure that all problems are immediately dealt with.

6.6 It must be emphasized that managers have a continual responsibility for the elimination of hazards in order to maintain a safe working environment. Any hazard which is identified by staff must be reported to the departmental head as soon as possible.

7. SAFETY REPRESENTATIVES

7.1 The University will support Safety Representatives in carrying out their role and give all reasonable assistance. Safety Representatives will be encouraged to discuss specific health and safety issues with the relevant Head of Department. They may also formally report hazardous or unsafe circumstances to the Head of Department and will be formally notified of the remedial action taken or be given a reason why the action cannot be taken.

8. TRAINING

8.1 Health and Safety training shall be incorporated within annual training programmes, as part of the development of a systematic training plan. Health and Safety training needs will, therefore, be identified and planned for in the same manner as other training needs.

8.2 Four areas of need shall be given special priority:

- Training for managers, to equip them with an understanding of the Head of Department's responsibilities under this policy, and the role and purpose of safety representatives;
- Training for safety representatives to enable them to discharge their function;
- Training for all members of staff to acquaint them with the main provisions of the law and its practical implication, the main features of this policy and key safety rules;
- Induction and in-service training for staff at all levels to acquaint them fully with new requirements and hazards.

9. RECORDS, STATISTICS AND MONITORING

9.1 The University will operate systems for recording, analysis and presentation of information about accidents, hazard situations and other occurrences. Advice on systems will be provided by the Vice Chancellor / Safety Officer, in conjunction, where appropriate with specialist advisory bodies for example local Environmental Health Departments, and the responsibility for the operation of these systems rests with managers and supervisors at all levels. Information obtained from the analysis of accident statistics must be acted upon to ensure it does not happen again.

10. THE OCCUPATIONAL HEALTH SERVICE

10.1 It is the policy of the University to provide comprehensive Occupational Health Services for all staff at least twice a year. Such services are provided confidentially to the individual employee and include counselling on Health and associated matters, investigation of hazards and accidents and environment studies.

10.2 The Service is staffed by Occupational Health Physicians and Nurses who are specially trained in their field.

11. FIRST AID

11.1 It is the policy of the University to make provision for First Aid and the training of 'First Aiders' in accordance with the Law. The General / Safety Officer are responsible for ensuring the Regulations are implemented and for identifying training needs.

12. FIRE

12.1 The Vice Chancellor / Safety Officer is responsible for ensuring that the staff receive adequate fire training, and that nominated fire officers are designated in all University premises.

12.2 In addition the University will nominate a Fire Officer (this may be the Safety Officer or someone external to the University)

- i. report and advise on the standard of fire safety in the University's premises and the standard of fire training of its staff;
- ii. undertake overall responsibility for fire training;
- iii. assist in the investigation of all fires in the University's premises and to submit reports of such incidents.

13. FOOD HYGIENE

13.1 Those Managers who have responsibility for food acquisition, storage, processing and serving, and staff induction and training, are responsible for ensuring that these functions are undertaken to the necessary legal standards. Any suspected outbreak of food poisoning or other unexplained and possibly food related incidents must be reported to the Vice Chancellor.

14. LIFTING AND HANDLING

14.1 Managers are responsible for informing staff of safe lifting techniques. The General Manager / Safety Officer will identify specific training needs. The Head of Department will ensure training in lifting and handling is provided to staff.

15. NON-SMOKING ON UNIVERSITY PREMISES

15.1 The University has agreed that there will be no smoking in its production / storage areas. The overall aim is to reduce smoking and so save life, reduce risk of fire, prevent unnecessary illness and chronic disability.

16. CONTROL OF SUBSTANCES HAZARDOUS TO HEALTH

16.1 The Control of Substances Hazardous to Health Regulations require the University to identify those substances which are in use and which are hazardous to health (as legally defined) and to assess the risk of those substances. The University must also provide and use controls to prevent exposure to substances hazardous to health; maintain controls by monitoring exposure, or by health surveillance of employees; and provide information, instruction and training for employees on all these matters. The HODs are responsible for implementing these Regulations.

17. CONTROL OF WORKING TIME

The University is committed to the principles of the Working Time Regulations. No member of staff is expected to work more than 45 hours per week unless there are exceptional circumstances. Similarly all other requirements of the regulations e.g. in relation to breaks, overtime, night workers etc. will be complied with.

18. HEALTH AND SAFETY AND THE INDIVIDUAL EMPLOYEE

18.1 The Health and Safety at Work Act requires each employee 'to take reasonable care for the Health and Safety of himself and of other persons who may be affected by their acts and omissions' and co-operate with management to enable management to carry out their

responsibilities under the Act. Employees have equal responsibility with the University for Health and Safety at Work.

18.2 The refusal of any employee to meet their obligations will be regarded as a matter to be dealt with under the Disciplinary Procedure. In normal circumstances counseling of the employee should be sufficient. With a continuing problem, or where an employee leaves themselves or other employees open to risk or injury, it may be necessary to implement the formal stages of the Disciplinary Procedure.

19. PEOPLE WORKING ON UNIVERSITY PREMISES NOT EMPLOYED BY THE UNIVERSITY

19.1 Persons working in the University premises who are employed by other organizations are expected to follow University Health and Safety Policies with regard to their personal safety and their method of work. This responsibility will be included in contracts or working arrangements.

20. VISITORS AND MEMBERS OF THE PUBLIC

20.1 The University wishes to ensure that as far as is reasonably practicable, the Health, Safety and Welfare of visitors to University establishments will be of the highest standard.

20.2 Any member of staff who notices persons acting in a way which would endanger other staff, should normally inform their Head of the Department. If the danger is immediate, common sense must be used to give warning, call for assistance or give aid as necessary. It is equally important not to over-react to a situation.

21. CONTRACTORS

21.1 The University wishes to ensure that as far as is reasonably practicable, the Health, Safety and Welfare of Contractors working in the University's establishments will be of the highest standards. In addition, Contractors and their employees have an obligation so far as is reasonably practicable to ensure all equipment, materials and premises under their control are safe and without risks to health.

22.2 Contractors must also observe the University's Fire Safety Procedures. These obligations will be drawn to the attention of the Contractors in the contract document issued to them. In addition a University Manager will be identified in the contract as having authority to stop the work of Contractors who are placing themselves, other staff, or visitors at risk. Any member of staff who judges there is a risk where contractors are working, should inform their Manager immediately.

23.3 In tendering, Contractors will be asked to confirm they have a written Health, Safety and Welfare Policy. The University's Manager letting the Contract will be responsible for monitoring the Health and Safety performance of the Contractor and the Contractor's performance will be a factor in deciding whether or not to invite the Contractor to tender again.

INTERNATIONAL MEDICAL AND TECHNOLOGICAL UNIVERSITY

HIV/AIDS POLICY

OBJECTIVES

The purpose of this policy is to provide clarity on the University's views and commitments with regard to HIV/AIDS and the comprehensive management of HIV positive employees and employees living with AIDS. The Policy is also aimed at focusing on aspects of HIV/AIDS which, if not carefully addressed may impact negatively on the University's business and/or the well-being of its employees. The University recognizes the seriousness and implications of HIV/AIDS for the individual employee, as well as co-workers of affected individuals.

SCOPE

The scope of this policy applies to all staff.

RESPONSIBLE PERSONS

All levels of Management

All employees

POLICY

The University, acknowledges the seriousness of the HIV/AIDS epidemic and seeks to minimize the social, economic and developmental consequences to the University and its employees through comprehensive, proactive HIV/AIDS workplace programs, therefore committing itself to providing leadership in implementing such programs. The University is fully committed to protect its employees, create awareness, encourage behavior changes where necessary as well as ensure that all employees are treated with the necessary dignity, fairness and equality.

The University commits itself to the following in as far as HIV and AIDS are concerned:

- i. HIV positive employees will be governed by the same contractual obligations as all other employees.
- ii. HIV/AIDS education and awareness training will be made available to all employees.
- iii. Jilanjo will ensure that where necessary/appropriate, affected employees and their colleagues and or head of departments receive appropriate advice and guidance should such a colleague wish to disclose their status.
- iv. The University will also ensure that affected employees are referred to appropriate professionals for e.g. medical and or counselling services.
- v. Consultation with affected employees in managing their illness will also be ensured.

Confidentiality

Persons with HIV or AIDS have the legal right to confidentiality and privacy concerning their health and HIV status. Under no circumstances will employees be obliged to disclose their HIV status.

Where an employee chooses to voluntarily disclose his / her HIV status to the employer, this information may not be disclosed to any other party without the employee's expressed consent. All medical information regarding employees with HIV/AIDS will be kept strictly confidential, except where required by law to be disclosed to specified people or/ with the consent of the employee.

Should any person within IMTU disclose such confidential medical information, without legal authority or relevant consent from the employee, appropriate disciplinary action will be instituted.

Testing

No staff member shall be required to undergo HIV testing, unless undertaken with the informed and explicit consent of the employee, and with the objective being to assist the employee in obtaining the appropriate support and care (counseling). HIV testing will not form part of the recruitment and selection process.

Non-discrimination

HIV/AIDS is a disease that shows no racial, gender or class boundaries. The University believes that a person with the HIV or AIDS must be treated on a similar basis to any other employee suffering from a life threatening disease. As such, employees who are HIV positive or those with AIDS will not be subjected to any form of victimization or discrimination.

The University is committed to fair, sound and non-discriminatory employment practices. Employees who develop, choose to disclose, or are diagnosed as HIV/AIDS positive will not be prejudiced, victimized or discriminated against on account of their medical condition or status. The presence of HIV/AIDS does not justify termination of employment, demotion, or discrimination in employment. The compulsory conditions of service, including pension/provident funds, medical aid, stated benefits, sick leave, housing, training and development would continue, as amended from time to time. Employees living with HIV/AIDS, have the same rights and obligations as all staff.

PRESENT EMPLOYEES

The University acknowledges that employees with HIV/AIDS as well as other life threatening diseases may sometimes need continued therapeutic assistance in order to continue performing their duties. The University commits itself to assisting employees wherever possible and necessary. Thus employees who are aware that they have a life threatening disease are encouraged to inform the University (through the University's Human Resources Manager) as soon as possible to enable the University to assist. This information will be treated with the highest level of confidentiality. No employee will be victimized or discriminated against.

EMPLOYEES IDENTIFIED AS HIV POSITIVE

The diagnosis of HIV status is confidential. Should an employee wish to disclose to the University that he/she is HIV positive, appropriate counseling service will be offered.

INCAPACITY TO PERFORM NORMAL DUTIES

Once an employee's disease starts to impact on his/her ability to perform his/her duties or attendance, the normal incapacity procedures will apply.

COLLEAGUES OF EMPLOYEES IDENTIFIED AS HIV POSITIVE

It is not possible for colleagues of an HIV positive employee to become infected through normal contact in the workplace. Educational programmes in the workplace informing employees of the facts of AIDS should encourage the appropriate attitudes in this regard. Unless the HIV positive employee is acting in an inappropriate manner, it is not acceptable for colleagues to refuse to work with that person.

Should an employee, after reassurance and with all appropriate safety and health precautions being taken and supplied by the University, remain unwilling to work with the HIV positive employee and this refusal affects productivity, he/she will be warned that his/her reaction is unreasonable, medically unjustified and that disciplinary action may be taken against him/her.

Any colleague of an HIV positive employee who embarks on any form of discrimination towards that particular employee may be subjected to the University's disciplinary procedure.

EMPLOYEES AT RISK

Certain employees, such as health care workers, occupational health nurse, and safety reps may be at a minimal risk of contracting a life threatening disease such as HIV/AIDS. However, this risk can be avoided by taking precautions or following infection control procedures. The University will ensure that correct equipment is provided where necessary.

There are no grounds for health care workers to refuse to treat an HIV positive employee and such refusal may lead to disciplinary action.

Definitions/Explanations

Acquired Immune Deficiency Syndrome (AIDS) is a condition that follows an infection with a virus known as Human Immune Deficiency Virus (HIV), which causes a breakdown of the body's natural defense mechanisms leaving the carrier increasingly vulnerable to opportunistic infections and malignant tumors. It is caused by our body being unable to fight infections. At present, there is neither vaccination nor cure for AIDS. HIV is transmitted mostly in four ways:

- Through unprotected sexual intercourse
- From an infected mother to child during pregnancy, birth, or breast-feeding
- Through contaminated (infected) blood products
- Through sharing contaminated instruments such as sex toys or needles/ injections.

Not all individuals who become infected with the HIV virus will develop AIDS, and some may experience no symptoms at all although they have the potential to infect others. HIV can live in our bodies without obvious effect. Most people with HIV feel healthy and are capable of living productive, healthy lives for many years. HIV does not usually cause immediate incapacity in a person.

EXIT POLICY

POLICY:

The University respects the rights of either party to terminate the employment. It is important to handle the exit procedure in a appropriate manner to ensure that:

- i. It is done in an amicable and respectful manner.
- ii. The departing employee is paid his/her terminal dues in accordance with the law.
- iii. To enable transfer of knowledge and experience from the departing employee to a successor or replacement.

PROCEDURE:

1. In case, the employee has resigned:
 - i. Ensure that the notice period given in accordance with the contract.
 - ii. Agree on the departure date to ensure proper handover.
 - iii. Agree on a handover procedure.
 - iv. Calculate all dues (receivable and payable), and pay on time.
 - v. Conduct an exit interview.
 - vi. Issue a Certificate Of Service.
2. In case of termination:
 - i. Decide on the appropriate date to ensure proper handover.
 - ii. Give notice in accordance with the contract (if the termination is other than summary dismissal).
 - iii. Agree on handover procedure.
 - iv. Calculate all dues (receivable and payable), and pay on time.
 - v. Conduct an exit interview.
 - vi. Issue a Certificate of Service.

EXIT INTERVIEW:

- i. Exit interviews are interviews conducted with departing employees, just before they leave. From the employer's perspective, the primary aim of the exit interview is to learn reasons for the person's departure, on the basis that criticism is a helpful driver for organizational improvement.
- ii. Exit interviews (and prior) are also an opportunity for the organization to enable transfer of knowledge and experience from the departing employee to a successor or replacement, or even to brief a team on current projects, issues and contacts.
- iii. Good exit interviews should also yield useful information about the employer organization, to assess and improve all aspects of the working environment, culture, processes and systems, management and development, etc.
- iv. From the departing employee interviewee perspective, an exit interview is a chance to give some constructive feedback, and to leave on a positive note, with good relations and mutual respect.

EXIT INTERVIEWS – AIM AND OUTCOMES:

- i. They provide an opportunity to 'make peace' with disgruntled employees, who might otherwise leave with vengeful intentions.
- ii. Exit interviews are seen by existing employees as a sign of positive culture. They are regarded as caring and compassionate - a sign that the organization is big enough to expose itself to criticism.
- iii. Exit interviews accelerate participating managers' understanding and experience of managing people and organizations. Hearing and handling feedback is a powerful development process.
- iv. Exit interviews help to support an organization's proper HR practices. They are seen as positive and necessary for quality and effective people-management by most professional institutes and accrediting bodies concerned with quality management of people, organizations and service.
- v. The results and analysis of exit interviews provide relevant and useful data directly into training needs analysis and training planning processes.
- vi. Exit interviews provide valuable information as to how to improve recruitment and induction of new employees.
- vii. Exit interviews provide direct indications as to how to improve staff retention.
- viii. Sometimes an exit interview provides the chance to retain a valuable employee who would otherwise have left (organizations often accept resignations far too readily without discussion or testing the firmness of feeling - the exit interview provides a final safety net).
- ix. A significant proportion of employee leavers will be people that the organization is actually very sorry to leave (despite the post-rationalization and sour grapes reactions of many senior executives to the departure of their best people). The exit interview therefore provides an excellent source of comment and opportunity relating to management succession planning. Good people leave often because they are denied opportunity to grow and advance. Wherever this is happening organizations need to know about it and respond accordingly.
- x. Every organization has at any point in time several good people on the verge of leaving because they are not given the opportunity to grow and develop, at the same time, ironically, that most of the management and executives are overworked and stretched, some to the point of leaving too. Doesn't it therefore make good sense to raise the importance of marrying these two situations to provide advantage both ways - ie., facilitate greater delegation of responsibility to those who want it? Exit interviews are an excellent catalyst for identifying specific mistakes and improvement opportunities in this vital area of management development and succession.

- xi. Exit interviews, and a properly organised, positive exit process also greatly improve the chances of successfully obtaining and transferring useful knowledge, contacts, insights, tips and experience, from the departing employee to all those needing to know it, especially successors and replacements. Most leavers are happy to help if you have the courage and decency to ask and provide a suitable method for the knowledge transfer, be it a briefing meeting, a one-to-one meeting between the replacement and the leaver, or during the exit interview itself.

Actions resulting from exit interview feedback analysis fall into two categories:

- i. **Remedial and preventative**, for example improving health and safety issues, stress, harassment, discrimination, etc.
- ii. **Strategic improvement opportunities**, for example improved induction, management or supervisory training, empowerment or team building initiatives, process improvement, wastage and efficiencies improvements, customer service initiatives, etc.

EXIT INTERVIEW QUESTIONNAIRE

NAME OF UNIVERSITY:	DATE OF INTERVIEW:
NAME OF INTERVIEWER:	DESIGNATION
NAME OF EMPLOYEE:	DESIGNATION
Tell me about how you've come to decide to leave?	
What is your main reason for leaving?	
What are the other reasons for your leaving?	
Why is this important, or so significant for you?	
What could have been done early on to prevent the situation developing/provide a basis for you to stay with us?	
How would you have preferred the situation(s) to have been handled?	
What opportunities can you see might have existed for the situation/problems to have been averted/dealt with satisfactorily?	
What can you say about the processes and procedures or systems that have contributed to the problem(s)/your decision to leave?	
What specific suggestions would you have for how the organization could manage this situation/these issues better in future?	

How do you feel about the organization?
What has been good/enjoyable/satisfying for you in your time with us?
What has been frustrating/difficult/upsetting to you in your time with us?
What could you have done better or more for us had we given you the opportunity?
What extra responsibility would you have welcomed that you were not given?
How could the organization have enabled you to make fuller use of your capabilities and potential?
What training would you have liked or needed that you did not get, and what effect would this have had?
What can you say about communications within the organization/your department?
What improvements do you think can be made to customer service and relations?
What could you say about communications and relations between departments, and how these could be improved?
Were you developed/inducted adequately for your role(s)?
What improvement could be made to the way that you were inducted/prepared for your role(s)?

What can you say about the way your performance was measured, and the feedback to you of your performance results?
How well do you think the appraisal system worked for you?
What would you say about how you were motivated, and how that could have been improved?
What can you say about the way you were managed? On a day to day basis? And on a month to month basis?
How would you have changed the expectations/objectives/aims (or absence of) that were placed on you? And why?
What examples of ridiculous waste (material or effort), pointless reports, meetings, bureaucracy, etc., could you point to?
How could the organization reduce stress levels among employees where stress is an issue?
What things did the organization or management do to make your job more difficult/frustrating/non-productive?
How can the organization gather and make better use of the views and experience of its people?
Aside from the reason(s) you are leaving, how strongly were you attracted to committing to a long and developing career with us?
What can the organization do to retain its best people?
Would you consider working again for us if the situation were right?

Are you happy to say where you are going (if you have decided)?
What particularly is it about them that make you want to join them?
What, importantly, are they offering that we are not?
(If appropriate:) Could you be persuaded to renegotiate/stay/discuss the possibility of staying?
How might we benefit from your knowledge, experience, introductions to your contacts, etc., prior to your departure?
What can we do to enable you to pass on as much of your knowledge and experience as possible to your replacement/successor prior to your departure?
I realize that you'll not be happy with the situation surrounding your departure, however we would really appreciate it if you could help us to understand some of the important things you've been working on - how might we agree for this knowledge to be transferred?

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