UPES

UNIVERSITY OF TOMORROW







PRINCIPLES OF **ENGAGEMENT**

Best Workplaces™ in Education & Training
Great Place To Work. INDIA 2026

RECOGNITION FOR BEING AMONG THE BEST IN THE INDUSTRY

UPES

*For inspiring **Trust** among your people, instilling **Pride** in them, creating an environment that promotes **Camaraderie**, and delivering a great workplace experience **for all** your employees that make your organization one of **India's Best Workplaces™ in Education & Training.***

Great Place To Work.

Balbir Singh
Chief Executive Officer
Great Place To Work® India

Great Mid-size Workplaces
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THE ECONOMIC TIMES

UPES

Rank 10

For inspiring **Trust** *among your people, instilling* **Pride** *in them, creating an environment that promotes* **Camaraderie**, *and delivering a great workplace experience* **for all** *your employees, making your organization one of* **India's Great Mid-size Workplaces.**

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Mr. Surinder Chawla
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THE ECONOMIC TIMES

Great Mid-size Workplaces
Great Place To Work. INDIA 2025

RECOGNITION FOR BEING AMONG INDIA'S GREAT MID-SIZE WORKPLACES

UPES

Rank 4

For inspiring **Trust** *among your people, instilling* **Pride** *in them, creating an environment that promotes* **Camaraderie**, *and delivering a great workplace experience* **for all** *your employees, making your organization one of* **India's Great Mid-size Workplaces.**

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Balbir Singh
Chief Executive Officer
Great Place To Work® India

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RECOGNITION FOR BEING AMONG INDIA'S GREAT MID-SIZE WORKPLACES

UPES

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For inspiring ***trust*** *among your people, instilling* ***pride*** *in them, creating an environment that promotes* ***camaraderie***, *and delivering a great workplace experience* ***for all*** *your employees that make your organization one of* ***India's Great Mid-size Workplaces.***

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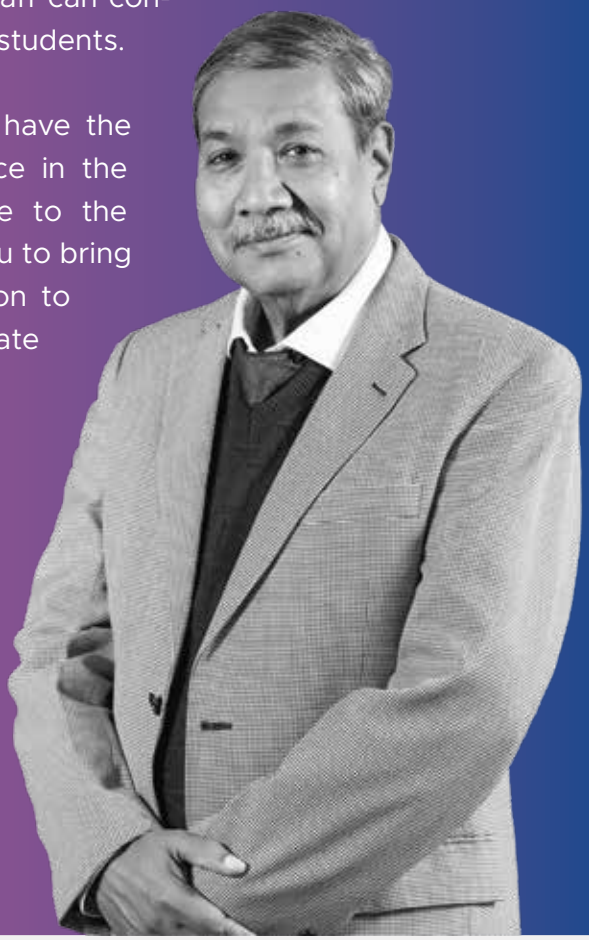
MESSAGE
FROM THE VICE-CHANCELLOR

Dear

Welcome to UPES - the University of Tomorrow! We are excited to have you join our team and become a part of our mission to revolutionize education.

At UPES, we believe that everyone has infinite potential. We also believe that every action, or inaction, has consequences. Therefore, we strive to help our students achieve their full potential by encouraging them to take the right actions and make the most of their time here.

We also believe that learning is lifelong and it's never too late to start afresh. Our inclusive organizational structure and progressive approach to education reflect this belief. We are committed to providing an environment where our faculty and staff can continue to learn and grow alongside our students.



As a member of our team, you will have the opportunity to make a real difference in the lives of our students and contribute to the future of education. We encourage you to bring your creativity, innovation, and passion to the table and work with us to create something truly special.

Once again, welcome to UPES - let's work together to create a brighter future!

Sincerely,

SUNIL RAI

OUR ETHOS



EVERY STUDENT WHO WALKS IN

THROUGH OUR DOOR IS AN OPPORTUNITY TO CREATE AN IMPACT.

A LITTLE SAPLING - ALMOST INCESSANTLY SEEKING ATTENTION AND NEEDING CARE,

CHALLENGING BELIEFS, RAISING OUR HOPE TO CREATE A BETTER WORLD.

AND WE ARE A BUNCH OF CARPENTERS AND ARTISTS.

CHISELLING, CARVING, AND SHAPING THIS GENIUS

MAKING DREAMS BIGGER, AND SHAPING DESTINY.

FOR US, IT'S PERSONAL.

WELCOME TO UPES!
INTRODUCTION



The "UPES Principles of Engagement" will acquaint you with UPES's policies and all information relating to your association with the University, UPES has laid down certain guidelines for its full-time, part-time and contractual employees to follow while associated with UPES. It is the responsibility of all such employees to read, understand, familiarize, and comply with the stated policies pertaining to them.

Please note that this document is for internal circulation only. It contains confidential information, and its contents are not to be shared with any person not employed with UPES.

These policies may be revised from time to time as per the growing needs of UPES and any revision made will be duly notified. If you have any queries regarding these policies, please feel free to reach out to the Human Resources (HR) department for assistance.

We are glad to have you on board and we hope your association with UPES will be challenging and rewarding!

CODE OF CONDUCT:
OUR WAY OF LIFE



1. Objective

1.1. The purpose of Code of Conduct is to define the way of Life at UPES and articulate high standards of honesty, integrity and ethical behavior expected of all employees, while meeting the requirements of external stakeholders and applicable laws.

Code of Conduct provides guidelines to the employees to enable them to understand their responsibilities end obligations and provide guidance on expected behavior at the workplace if laced with an ethical dilemma or conflict of interest.

2. Applicability

2.1. This policy shall be applicable to all full-time, part-time and contractual employees of UPES, as well as those associated in any other capacity (Collectively referred to as "employees for the purpose of Code of Conduct Policy).

3. Guidelines

3.1. Employment and Responsibility of Employees

3.1.1. All employees can be transferred / posted to any location in India as per the requirements of the University, communicated from time to time.

3.1.2. All employees shall ensure to be aware of and abide by the Codes elucidated in this document.

3.1.3. All employees shall be responsible for behaving / acting in ethical manner compliant with the applicable laws, rules and regulation and promote ethical conduct in the University.

3.1.4. All employees shall be responsible for reporting any violations of the code of conduct they observe within UPES, to the appropriate authority.

3.2 Responsibility of Functional Heads / Deans

3.2.1. All Deans/ Functional Heads shall be responsible for driving a culture of integrity, honesty and ethical behavior among other employees and in the University.

3.2.2. They are expected to be a role model of behaviors expected of employees and also encourage other employees to abide by UPES's Way of Life.

3.2.3. They should encourage different opinions and address issues of the employees, in a transparent manner, in order to maintain a healthy work environment.

3.3 Codes of Conduct

3.3.1 Honesty and integrity

a. All employees shall demonstrate highest standards of honesty and integrity in their conduct at all times within the premises of UPES as well as outside of it.

b. Any unethical behavior or practice by an employee shall be highly unacceptable and non-negotiable.

3.3.2 Focus on Quality

a. All employees shall devote their time and attention to UPES, its work, its students and other internal and external stakeholders.

b. All employees shall discharge their duties as entrusted from time-to-time responsibly, with full commitment and to the best of their potential.

c. All employees shall adhere to the quality standards of UPES, as prescribed from time to time, in order to ensure that service of highest quality is provided to our students and other internal and external stakeholders.

d. All employees shall be accountable for the overall experience of the students and other internal and external stakeholders.

e. All employees shall ensure that any information collected, produced or obtained in the course of employment with UPES, whether communicated orally or written in paper or electronic format, is accurate, complete and correct to the extent possible.

3.3.3 National Interest

All employees shall ensure that any information collected, produced or obtained in the course of employment with UPES, whether communicated orally or written in

paper or electronic format, is accurate, complete and correct to the extent possible.

3.3.4 Respect for All

All employees shall demonstrate respect and trustworthy behavior in all dealings with their student, colleagues as well as other internal and external stakeholders (such as parents of the students, guest speakers, and people from industry, among others).

3.3.5 Team Work

All employees shall uphold the spirit of team work and ensure that the best interest of the University prevails at all times.

3.3.6 Open Door Culture

All employees shall foster an open-door culture at workplace, where all students, employees and other internal stakeholders have access to each other regardless of their position or influence in the University.

3.3.7 Equal Opportunities Employer

UPES is an equal opportunity employer and does not discriminate any person because of his / her gender, caste, religion, age, marital status, nationality, ancestry, ethnicity, geographical origin, sexual orientation, disability or any other trait protected by law, with respect to any terms of employment such as hiring, promotion, transfer, compensation & benefits, career development opportunities, etc.

b. All employment-related decisions shall be based on merit of the person only, and UPES shall not discriminate against any person because of his / her personal characteristics / traits.

3.3.8 Workplace Free of harassment

a. A harassment-free workplace is the right of all employees and UPES respect this right.

b. All employees shall ensure a healthy and safe work environment that is free from harassment of any kind or form.

c. All employees are prohibited from indulging in harassment of any kind or form - whether physical, verbal, psychological, or sexual in nature. This includes all types of unwelcome, offensive, demeaning and intimidating behaviors against University, students, employees or any other internal and external stakeholders, whether explicit or implicit.

d. Verbal and / or physical threats against University, students /employees or clients / employees will not be tolerated.

e. If any employee is found to have resorted to harassment towards any student, employee or any other internal and external stakeholder, strict disciplinary action shall be taken in such case.

f. Additionally, if an employee is harassed by another employee, visitor, vendor, or any other associate while at work, disciplinary action shall be taken as per the guidelines of Code of Conduct policy.

3.3.9 Safety, Health and Environment

a. UPES is committed to provide its employees a safe, healthy and sound working environment

b. Safety at workplace is also every employee's responsibility.

- All employees shall comply with safety norms and codes as prescribed by the University;
- All employees shall also be responsible for guiding their colleagues, students and other internal and external stakeholders at UPES's premises to ensure compliance to the safety norms and codes;
- All employees shall keep a caring and watchful eye on their colleagues, students or any other associate and shall proactively bring it to the notice of the University if they foresee any unsafe or potentially illegal act or action which may have implication(s) on the safety, health and environment at UPES;
- Should a need arise and if required, an employee must act promptly and undertake all possible measures to eliminate any unsafe condition(s) as soon as they become aware of it.

3.3.10 Prohibition of Substance Abuse

- UPES is committed to maintain a productive and safe environment that is free from substance abuse of any kind at its premises.
- For this purpose, UPES's premises shall include all land(s), office(s), building(s), campus(es), guest house(s), vehicle(s) and parking area(s) under the control of UPES. It also includes such other work location(s) as internship location(s), or site(s) / center(s) used or occupied during enrollments and placements, including the vehicle(s) used for travel to or from such location(s) while on UPES duty or assignment(s), internship(s) or otherwise within the scope of employment.
- Substance Abuse includes smoking, use of alcohol, drugs and other controlled substances (except when these substances / drugs are medically prescribed by a licensed health care professional).
- Alcohol is defined as an intoxicating liquid that includes, but is not limited to, wine, beer, and spirits.
- Drugs and other controlled substances are prescribed drugs, as well as illegal inhalants and illegal drugs and / or controlled substances as defined under the applicable law, including but not limited to marijuana, opiates (e.g., heroin, morphine), cocaine, phencyclidine (PCP), and amphetamines and methamphetamines.

a. All employees are prohibited from substance abuse of any form while performing their duty at UPES's premises. Employees are also prohibited from reporting to work or classes under the influence of alcohol or non- medically prescribed drugs or any other addictive substances.

b. Unauthorized or unlawful purchase, possession, use, sale, distribution, manufacture of alcohol, drugs and other controlled substances is prohibited at UPES's premises.

c. Prohibition of substance abuse is also applicable to UPES's employees, students and internal as well as external stakeholders.

d. Violation of this clause on substance abuse shall lead to disciplinary action(s) in accordance with the rules and regulations of Code of Conduct of UPES.

3.3.11 Workplace Violence

a. Workplace violence in any form either within premises or outside where University-related activities are carried out, is not acceptable at UPES

b. Employees should neither indulge in workplace violence nor encourage others towards it.

c. Demonstrating violence against any person or University's property shall attract strict disciplinary action.

d. Possession of weapons or dangerous items at workplace or outside while conducting University-related activities is strictly prohibited.

3.3.12 Prohibition on Corruption

a. Employee's shall not engage in any corrupt practices including:

- Offer / accept bribes
- Offer / accept kickbacks
- Give false incentives to customers / vendors
- Indulge in theft / fraud
- Embezzle funds
- Indulge in personal monetary transactions with students/colleagues and other internal and external stakeholders
- Indulge in personal level entertainment with students/colleagues and other internal and external stakeholders
- Falsify University's records and / or academic / personal records of students
- Solicit Gifts / Advantages
- Or compromise integrity in any manner whatsoever

3.3.13 Proper Control and Accounting

a. Compliance with prescribed controls, accounting systems and rules is required at all times. The accounts must accurately reflect and properly describe the transactions recorded.

b. Appropriate action will be taken for breaching UPES's control and accounting systems and rules.

3.3.14 Protection and proper use of UPES's assets

a. UPES's assets can be tangible (such as office supplies, office furniture, equipment, computer and communication systems, etc.) and/or intangible (such as intellectual property, software, etc.).

b. UPES's assets are the property of the University, which are provided to employees to facilitate their working in the University. Improper access, manipulation, alteration or other interference with UPES's assets is prohibited.

c. All employees are expected to protect these assets and ensure efficient, ethical and judicious usage of the same.

d. Theft, misuse or destruction of UPES's assets shall be considered as a misconduct and attract disciplinary action.

3.3.15 Intellectual Property

a. Copyright and all other intellectual & proprietary rights in any document and other materials produced by the employees during the course of their association with UPES (whether or not produced during working hours) shall vest in and belong to UPES from the date of production.

b. To the extent necessary, the employee shall hereby irrevocably assign all present and future copyright(s) and other right(s) in such document(s) and other materials to UPES immediately upon their creation.

c. It is the employee's responsibility to obtain copyright on Intellectual Property created by her/him during her/his employment with UPES and assign it to UPES. Unless specifically waived or transferred in writing by the University, all payments and royalties emanating from the exercise of such rights shall be the property of UPES.

d. Employees shall ensure that all such documents and other materials produced by her/him will be original and will not infringe upon the rights of any third party.

e. All property, document(s), paper(s) or other work(s) in employee's possession or control, acquired or prepared by reasons of employee's employment with UPES must be returned on request and, in any event, upon separation of the employee from UPES.

3.3.16 Confidentiality

a. Any information relating to UPES's dealing(s), procedure(s) / process(es) / practice(s), strategic plan(s), financial record(s), its student(s), client(s) and vendor(s), or any other non-public information that comes to employees' possession or attention by reason of their employment, shall be treated as being confidential, whether or not it is individually identified as confidential. An employee will not, during her/his association with UPES, or after its completion, communicate or divulge to any other person such confidential information related to UPES.

b. Employees are expected to safeguard such confidential information and discussions should be limited to those who "need to know". Discretion should be used at all stages of handling such information, whether oral or written. Special attention is drawn towards aspects like filing and photocopying where there is potential loss of such confidentiality.

c. Employees shall not communicate directly or indirectly any official document or information to any person to whom s/he is not authorized to communicate such document or information.

d. Any violation of this clause on Confidentiality will attract strict disciplinary action.

3.3.17 Conflicts of Interest and Duty

a. UPES discourages any act that is not in the best interests of UPES.

b. "Conflict of Interest" is defined as:

- When an individual's personal, economic interest(s) are in conflict with the interest(s) of UPES;
- A situation that arises when a decision-making authority is seen to have a personal stake in the outcome of the decision itself;
- The use of one's position to obtain personal gain or advantage for oneself, members of one's family or friends;

c. In the best interest of the University, each employee must adhere to the following guidelines:

- A full-time employee of UPES shall not accept concurrent employment outside the University, with or without remuneration. This encompasses undertaking any consulting assignment, freelancing, directorship, or any position of responsibility, with the exception of those assignments /projects / associations that are approved by UPES. In case an employee intends to undertake any concurrent opportunity outside UPES, a prior approval from the University is required;
- A full-time employee shall not engage, own, manage, operate consult or be employed with another University or Institution that is substantially similar to or in competition with UPES during their employment with the University, with the exception of those assignments / projects / associations that are approved by the University;

- Employees must refrain from developing / maintaining personal associations with stakeholders;
- Completely avoid any other situation that hampers employee's ability to take decisions in the best interest of the University;

d. Each employee must completely and accurately inform UPES of any personal or external interest that may lead to an actual, potential or perceived conflict of interest or duty. The University will take appropriate steps to eliminate or minimize such conflicts of interest at the earliest.

e. In addition to this, employees must not exploit for their own personal gain, the opportunities that are discovered through the use of UPES's property, information or position.

f. If UPES's reputation and good name is jeopardized in any way, due to such Conflict of Interest, strict disciplinary action will be taken.

3.3.18 Compliance with laws, regulations, policies and procedures

- Comply with the letter and spirit of any applicable law, rule or regulation;
- Comply with the policies and procedures of UPES;
- Encourage other employees to do the same;
- Report any actual/potential/perceived violation any law, regulation and procedures.
- All employees of UPES are expected to conduct their work in the best of national interest and shall not be engaged in any activities that shall put national interest at risk

3.4 Usage of internet and Email

3.4.1 Employees must adhere to the following guidelines while using internet and email at workplace or other using assets of UPES:

a. Do not send offensive emails and messages to any person(s) / group(s) within or outside the University.

b. Not import any non-text files including files received as e-mail attachments onto your system without checking for viruses.

c. Not visit obscene or illegal material or any material that is offensive in any way.

d. Not download any unauthorized software. All software used by employees to conduct University-related activities must be appropriately licensed.

e. Not share any report, files, data, source code or any propriety information or intellectual property of UPES with any unauthorized person(s) / group(s) or any other entity through the internet.

f. Not use the email system to copy and / or transmit any document(s), software or other information protected by copyright laws.

g. Not create email congestion by sending trivial messages or personal messages or copying e-mails to those who need not receive them.

h. Not access gaming or porn sites or any site with sexuality explicit material, gamble or initiate any hacking activity, sniff attack or denial-of-service attack over the internet. These activities are strictly prohibited, and strict action will be taken against the users. In case of any legal action arising thereof, the user will be solely responsible for the same.

3.5 Media Relations

3.5.1 No employee of the University shall discuss about matters related to UPES, answer any questions or provide any personal opinion, whether favorable or adverse, about the University in any article / radio / TV broadcast / to outsiders directly or indirectly. Any violation of this clause will lead to strict disciplinary action.

3.5.2 Only a person, appointed by the University, shall act as a Spokesperson who would interact with the Media/ Press on behalf of UPES.

3.5.3 In case any media representative contacts an employee, s/he should be directed to the Registrar or to the Vice-Chancellor.

3.6 Social Media Guidelines

3.6.1 UPES recognizes the importance of Social Media in the current scenario and is committed to support employees' right to interact knowledgeably and responsibly in social media.

3.6.2 The following guidelines shall be followed by the employees in all their Social Media communications in connection with UPES, to protect the privacy, confidentiality, and interest(s) of UPES, its employee(s), student(s), and other stakeholder(s):

a. Should be honest about their identity without concealing or falsifying facts

b. Should not portray themselves as a spokesperson of the University on any matter.

c. Should not post any information related to UPES on Social Media websites, networking platforms and mobile applications including sensitive information, intellectual property and financial disclosures.

d. Should not use UPES's logo and trademarks in any post.

e. Should always use a disclaimer: "the views expressed in this post are my own and do not represent UPES's opinions", whenever s/he posts any content.

f. Should be respectful towards other person(s) / group(s) in their posts.

g. Should not post any offensive or potentially offensive content on any social media website.

h. Should use their good judgment while posting on Social Media as their actions may represent UPES.

i. Should follow applicable laws in all their social media communication / posts.

3.6.3 Any violation of the above-mentioned guidelines will lead to strict disciplinary action.

3.6.4 In case of any query regarding Social Media Guidelines, employees should approach HR or Legal department.

3.7 Political Contributions and Activities

3.7.1. An employee shall not be an active member of any political party and should not misuse the funds of UPES for any political party / consideration/ cause. If s/he is already an active member of any political party in any capacity, s/he needs to inform HR and also seek approval from the University.

3.7.2. An employee shall not canvass for any political party/wings/association in any form or format and shall not use any direct or indirect political influence in matters pertaining to UPES.

3.8 Distribution of Private Pamphlets / Promotional Material

3.8.1. Distributing or exhibiting within the premises of the establishment and / or its precincts handbills, pamphlets, posters, effigies and such other things or causing to be displayed by means of signs or writing of other visible representation or any matter is not permissible without previous written sanction of the University.

3.9 Professional Conduct

3.9.1. The employees are expected to conduct themselves in a courteous and professional manner at UPES's premises and outside whenever they are representing UPES.

3.9.2. Employees should always be aware of their personal appearance and grooming.

3.9.3. Employees should be conscious of their language, courtesy, manners, and conduct with other employees. Negative, abusive or obscene language will not be tolerated.

3.9.4. Employees should demonstrate a sense of "professional pride" in their work habits and be an ambassador of UPES at all times.

3.10 Accepting & Offering Gifts:

3.10.1 Accepting Gifts

Employees are expected to exercise caution and sound judgment when accepting gifts in the course of business. As a general principle, employees may accept gifts from business associates only if the following conditions are met:

a) No Cash Gifts: Under no circumstances may cash or cash equivalents (such as gift cards or vouchers) be accepted.

b) No Implied Obligation: The gift must not create, or appear to create, any obligation or expectation of preferential treatment, influence over business decisions, or commercial advantage.

c) Nominal Value: The gift must be a token memento of nominal value, not exceeding INR 3,000. Where possible, such mementos should be company-branded with the logo of the gifting entity. Any such gift received must be reported immediately to the Local Compliance Officer and HR Head.

d) Reporting of High-Value Gifts: Gifts valued at INR 3,000 or more (or equivalent in local currency), regardless of their nature (including promotional items), must not be accepted and must be reported immediately to the recipient's Functional Head, Local Compliance Officer, and HR Head.

3.10.2 Offering Gifts

Employees may offer gifts to business associates—including vendors, consultants, and contractors—only when there is a legitimate business purpose and the action complies with this policy. Employees must ensure:

a) Pre-Approval for Gifts: Gift valued at less than INR 3,000 may be offered only post written approval of the employee's Functional Head. If any gift valued of INR 3,000 or above, formal written approval should be obtained from a senior officer designated by the CEO.

b) Avoiding Perception of Bribery: Gifts must not be offered if there is a risk that such gestures could be interpreted as bribery or undue influence. In case of any confusion, Employee's must consult with the Local Compliance Officer or HR head in writing.

c) No Cash or Cash Equivalents: Gifts must not be offered in the form of money, cash, or equivalents (e.g., vouchers).

d) Compliance with Recipient Policies: Gifts must comply with the recipient's (Business associates) internal policies (e.g., Code of Conduct) and all applicable laws.

e) No Gifts to Family Members: Gifts must not be extended to family members of business partners or associates.

f) Government Officials & High-Value Gifts: No gifts may be given to government officials without formal written approval from by the CEO.

3.11 Unauthorized Transfer of University's Property

3.11.1. An unauthorized loan or transfer of identity card, equipment or property of UPES to another person is not permissible.

3.11.2 Acts of Omission and Commission Constituting Misconduct

3.11.3 For this purpose, UPES's premises shall include all land(s), office(s), building(s), campus(es), guest house(s), vehicle(s) and parking area(s) under the control of UPES. It also includes such other work location(s) or site(s) / center(s) used or occupied during enrollments and placements, including the vehicle(s) used for travel to or from such location(s) while on UPES duty or assignment(s) or otherwise within the scope of employment.

3.11.4. The following are sample cases (and not limited to) for the acts of misconducts:

1. Willful insubordination or disobedience of any reasonable instruction(s) of a superior, whether alone or in combination with other.
2. Striking work alone or in combination with other employees or inciting them to strike work.
3. Sleeping on duty.
4. Refusal to work on any job assigned by the University.
5. Theft, fraud, forgery, misappropriation, embezzlement or dishonesty in connection with UPES or its property.
6. Taking or giving bribes or any illegal gratification whatsoever.
7. Collection or canvassing for collection without the written permission of the University of any money within the premises of UPES, except as sanctioned by any law for the time being in force.
8. Habitual late attendance and habitual absence without leave sanctioned or without sufficient cause.
9. Carrying on money-lending with commercial intent or any other commercial activity within the premises of UPES.
10. Drunkenness, fighting, riotous, disorderly or indecent behavior within the premises of UPES.
11. Commission of any act leading to indiscipline or unacceptable behavior within the premises of UPES.
12. Habitual negligence or neglect of work.
13. Absence from place of work without the permission of the Reporting Manager.
14. Causing damage to one's own work or to that of other employee or students.
15. Causing damage to property of any employee, student or any other internal or external stakeholder at UPES.
16. Theft of property belonging to other employees / students or any other internal or external stakeholder or to UPES.

17. Shouting of defamatory or disrespectful slogans or distribution or exhibition within the boundaries of the establishment of any newspapers, hand bills, pamphlets or posters without the previous sanction of the University.

18. Threatening, abusing, assaulting, intimidating or any improper behavior towards any student or employee or any other internal or external stakeholder of UPES.

19. Gambling within the premises of the establishment.

20. Unauthorized use or forcibly occupying UPES's property.

21. Lending to or borrowing money from employees with commercial intent.

22. Engaging in trade within the premises of UPES.

23. Spreading rumors/false information or panic which tends to disrepute UPES or its employees, students or any other internal or external stakeholder of UPES.

24. Writing of anonymous or pseudonymous letters criticizing the employees of UPES.

25. Refusal to accept charge sheet, suspension order, or any other lawful order given by a superior.

26. Misbehavior during the pendency of disciplinary action instituted against him/her.

27. Giving false personal information, qualifications or previous service etc.

28. Possession of any lethal weapon within the premises of UPES.

29. Tampering with official records and other documents, either pertaining to himself / herself or to any employee or student or any other internal or external stakeholder of UPES.

30. Misuse of loan or salary advance or non-compliance with the provisions of the loan/salary advance policy.

31. Commission of any act during association with UPES, leading to indiscipline or unacceptable behavior:

    - On UPES's property or premises;
    - Outside UPES's premises if it directly or indirectly affects the functioning or reputation of UPES, its student(s) or employee(s) or any other internal or external stakeholder of UPES.

32. Frequent repetition of acts or omissions liable for fines.

33. Any act of omission which amounts in loss of the UPES's confidence.

34. Unauthorized communication or disclosure of official documents or information pertaining to UPES, its student(s) or employee(s) or any other internal or external stakeholder, to any unauthorized person.

35. Incivility to student(s) or employee(s) or any other internal or external stakeholder.

36. Violation of norms related to safety and health of student(s) or employee(s) or any other internal or external stakeholder at UPES that exposes the University to any penalty under the applicable law.

37. Absence from duty without notice, or without sufficient reason, for a period of 3 days or more.

38. Any form of substance abuse within the premises of the UPES

39. Any conduct in relation to academic work that is dishonest or unfair and includes, but is not limited to:

    - Plagiarism;
    - Unauthorized collaboration;
    - Misrepresentation of other's research work as own and not giving credence to the researcher;

3.11.5 If any employee is found to have participated in any of these misconducts, disciplinary procedure would be initiated in such cases. The steps followed in the disciplinary procedure and the penalties for proven misconducts are as follows:

3.12 Procedure for Dealing with Cases of Misconduct

3.12.1. Principles of Disciplinary Procedure:

a. Counseling will be offered, where appropriate, to resolve problems.

b. No disciplinary action will be taken against any employee until the case has been fully investigated.

c. At every stage in the procedure the employee will be advised of the nature of the complaint against him or her and will be given the opportunity to state his or her case before any decision is made.

d. The level of any formal action will be dependent on the seriousness of the offence, having regard to the need for fairness and natural justice. The procedure is internal to UPES and does not allow for any external representation.

e. The decision taken by the appointed committee will be final and binding

3.12.2. Procedure for handling reported misconducts:

a. In the spirit of natural justice, the employee against whom the misconduct has been reported, will be given an opportunity to explain his / her case.

b. Depending on the explanation given by the employee HR shall decide the due course of action depending on the severity of the misconduct and previous record of the employee concerned.

c. In case of minor misconduct:

- The employee shall be advised by the Reporting Manager of the conduct expected of him/her in the future and of the possible consequences if the misconduct is repeated.
- Where necessary a verbal/written warning may be given by the Reporting Manager. However, a record of a verbal/written warning needs to be kept on the employee's personnel file held by HR and may be used in future proceedings.

d. In case of major misconduct:

- A show-cause notice will be served to the employee against whom misconduct has been reported.
- If the explanation provided by the employee for the charges leveled in the show cause notice, is not satisfactory, a charge-sheet clearly setting forth the charges against him/her, will be served and an enquiry as stated below will be held.
- The enquiry will be held by an Enquiry Officer appointed by UPES who should necessarily be at a higher grade than the accused.
- During this enquiry, the accused will be given all reasonable opportunities to defend himself / herself against the charges leveled on him / her.
- The accused will be permitted to produce witnesses in his / her defense and cross-examine any other witnesses on whose evidence the charge rests.
- The Enquiry Officer will also sum up the evidence at the conclusion of the Enquiry and submit his / her Report to UPES pronouncing his observations against the charges leveled.
- The said report will be forwarded to the employee for his / her comments thereon within a defined timeframe.
- The competent authority will consider the report of enquiry, the reply of the charge-sheeted employee, if any, and either exonerate the accused or award him / her with a suitable punishment.
- If the accused fails to respond to the show-cause notice by the stipulated time, or if he / she fails to be present at the enquiry or otherwise decides not to co-operate, the case will be preceded with expert without the presence of or the co-operation of the accused.
- If the competent authority feels that the misconduct committed is a serious one, any action commensurate with the gravity of misconduct can be undertaken as mentioned in subsequent clause.

e. If, as a result of enquiry held, or explanation tendered, it is decided not to take any action, the employee will be deemed to have been exonerated of all the charges.

3.13 Disciplinary Actions in case of Misconduct

3.13.1. An employee found guilty of misconduct, and any of the following actions commensurate with the offence may be taken:

3.13.2. Minor Actions:

a. Warning

b. Fine

c. Recovery to the full extent of actual amount of loss caused to UPES

3.13.3. Major Actions:

a. Suspension

- An employee can be suspended pending investigation into charges against him / her. He / she will, however, be entitled to full salary for the period of suspension.
- During the period of suspension, the employee may not leave the station, except with the written permission from UPES and will be liable to be called at any time and / or on any day in connection with his / her case.
- UPES has the right to suspend an employee who is accused in a court of law for any criminal offence.

b. Withholding of increments for any specific period with or without cumulative effect.

c. Demotion to a junior post, lower grade, lower pay scale.

d. Discharge or dismissal from service

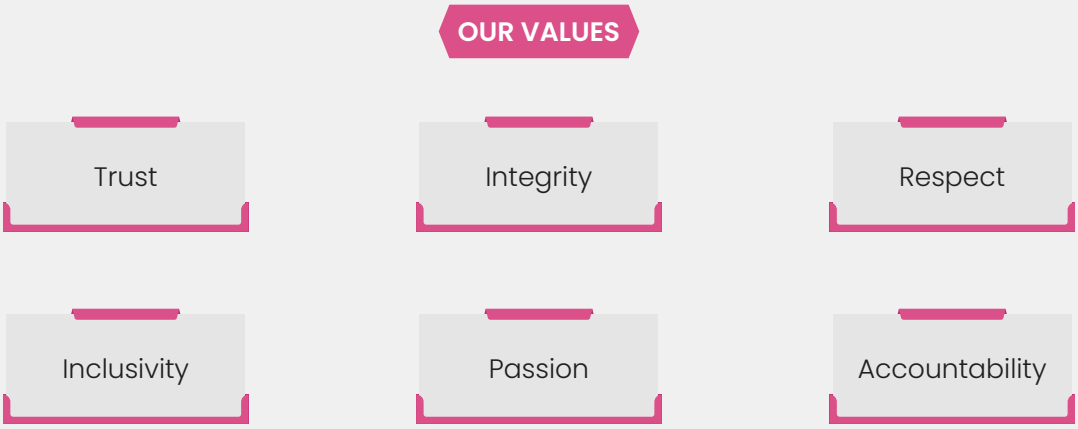
- The University may dismiss, discharge, or terminate the services of any employee without following the procedure for handling reported misconducts, if the employee has been given the punishment of imprisonment by a court of law.
- If the employee is dismissed as a result of the enquiry or as a result of imprisonment by court of law, the dismissal will have effect from the day on which the order of dismissal is passed by the appointed committee/competent authority.

3.13.4. Reporting Concerns

a. Each employee must report actual or potential deviation from the guidelines in this document or applicable laws to the Dean / Functional Head or the Vice-Chancellor.

b. All such reports of deviation shall be treated as being confidential.

c. Additionally, complete protection shall be provided to the complainant against any possible retaliation by any person.



Trust is the confidence placed in someone's reliability, honesty, and ability to act in the best interest of others. It is the foundation of strong relationships and effective collaboration, enabling people to work together with mutual understanding and assurance.

Integrity is the unwavering commitment to honesty, ethics, and consistency in actions and decisions. It means staying true to one's principles and doing the right thing, even in challenging situations. Integrity builds trust and credibility by ensuring that words and actions align.

Respect is the recognition and appreciation of the inherent worth, dignity, and contributions of every individual. It involves treating others with kindness, fairness, and consideration, fostering an environment where everyone feels valued and empowered to express themselves

Inclusivity is the commitment to creating an environment where everyone is welcomed, valued, and supported, regardless of their background, identity, or perspective. It ensures that diverse voices are heard and respected, and it promotes equity and belonging for all.

Passion is the deep enthusiasm, energy, and commitment to a cause, purpose, or work. It drives people to give their best, persevere through challenges, and inspire others by channeling their excitement and dedication into meaningful actions

Accountability is the responsibility to own one's actions, decisions, and outcomes, both individually and collectively. It involves being transparent, reliable, and answerable for one's commitments, ensuring that expectations are met and trust is upheld.

3.14 Acknowledgement of Code of Conduct

3.14.1. All employees are required to acknowledge receipt of the Code of Conduct Policy through the Employee Self-Service (ESS) Portal. This acknowledgment confirms that the employee has received, read, and understood the contents of the policy and agrees to comply with its terms. Access to the full functionalities of the ESS Portal will be granted only upon completion of this acknowledgment.

RECRUITMENT AND **SELECTION**



1. Objective

1.1. The objective of this policy is to lay down guidelines for hiring talented and competent professionals for UPES who will contribute their best to fulfill the goals of UPES.

1.2. UPES is committed to select candidates based only on merit and as seen fit for the role to be hired for.

UPES is against any form of discrimination while employing people at UPES.

2. Applicability

2.1. This policy is applicable to all full-time and part-time employees, including those appointed on a contract basis.

3. Recruitment and Selection Principles

3.1. Equal Opportunity, Diversity & Inclusion

3.1.1 UPES is committed to provide equal opportunity to all and attract a diverse and effective workforce with a wide range of abilities, experience and skills.

3.1.2 Therefore, employment practices in UPES will be based on merit, qualifications, and competencies Suitable to the given role; and will not be influenced or affected by an applicant's or employee's gender, caste, religion, age (within statutory limits), marital status, nationality, ancestry, ethnicity, geographical origin, sexual orientation, disability, proximity to another employee, or any other trait protected by law.

3.1.3 UPES does not tolerate any form of bias or discrimination against any employee, by virtue of any above indicated trait.

3.1.4 There will be no preference given to any candidate. Existing employees may provide references; however, hiring decision will be solely based on merit.

3.1.5 Any employee involved in the hiring process, found to be engaging in any type of unlawful discrimination will be subject to disciplinary action, up to and including termination of employment.

3.2 Selection Process

3.2.1. The key steps in selection will be as follows:

a. The first level of screening of candidates' CV will be the responsibility of HR. This is to ensure that only candidates meeting the minimum eligibility criteria (such as educational qualification, experience level, etc.) as outlined in job description are shortlisted for further selection process.

b. Depending on the level of position and requirements of job, the selection process may comprise telephonic interview, panel / face-to-face interview.

3.3. Employment of Relatives

3.3.1. UPES permits the employment of relatives in the University provided:

a. They do not work for the same department or function.

b. They do not share the same Reporting Manager and do not have any direct or indirect reporting relationship.

c. When an employee becomes aware that a relative is seeking employment in the University, it is her/his duty to inform HR regarding the relationship shared with the candidate. It is the duty of HR to let the Reporting Manager know about the candidate.

d. The Dean/ Functional Head shall approve hiring of relatives. HR should ensure that the same is documented and kept in records.

e. It is the responsibility of the Dean/ Functional Head to monitor changes in employee reporting relations after the initial hiring to ensure compliance with this policy.

f. In the course of employment, if the situation arises that two employees become close relatives and are in a position where direct or indirect conflict of interest may arise, it is the responsibility of the employees to inform the Reporting Manager and HR regarding this change.

g. Either of the employees may seek a transfer or change, with the approval of the Vice-Chancellor. If there is no possibility of a change within the University, the HR may ask either of the two to seek alternative employment.

h. The definition of relatives, for the purpose of this policy, includes relatives both by blood and marriage, i.e., parents, parents-in-law, spouse, children, brothers, sisters, brother-in-law and sister-in-law.

Grades	Designation
G5	President, Vice Chancellor
G4	Pro Vice Chancellor, Registrar, Dean, Provost, Finance Officer, Sr. Director.
G3	Vice Provost, Cluster Head/Associate Dean, Vice-Dean Assistant Dean, Professor Emeritus, Distinguished Professor, Sr. Professor, Professor, Professor of Practice, Design Fellow Equi. – Professor, Sr. Associate Professor, Associate Professor, Assistant Professor - Selection Grade, Controller of Examination, Director, Deputy Director, Joint Registrar, Deputy Registrar, Chief Proctor, Chief Librarian, Chief Medical Officer, Assistant Director, Adjunct Faculty, Adjunct Professor
G2	Assistant Professor - Senior Scale, Assistant Professor, Senior Manager, Manager, Assistant Registrar, Assistant Manager, Section Officer, Research Scientist, Associate Librarian, Nursing Assistant, Assistant Registrar, Sr. Lab Superintendent, Chief Security Officer, Sr. Associate Librarian, Resident Doctor, Medical Officer, Librarian, Security Officer, Psychologist (Counsellor), Trainer
G1	Student Recruitment Advisor, Lab Assistant, Executive, Quality Analyst, Project Assistant, Research, Associate, Sports Officer, Lab Supervisor, Executive Assistant, Driver, Personal Assistant, Sr. Lab Assistant, Sr. Warden, Warden. Academic Counselor, Sr. Research Fellow, Sr. Lab Technician, Lab Technician, Associate Design Fellow, Fire and Safety Officer, Technical Executive, System Administrator, Project Fellow, Lab Superintendent, Consultant, Assistant Librarian, Store Supervisor, Nursing Assistant, Research Assistant, Counsellor, Supervisor, Executive, Assistant

4. Guidelines

4.1. Categories of Employment

4.1.1 Permanent employee is a person who has been engaged on a regular basis and includes any person who has been confirmed in writing on satisfactory completion of period of probation. These employees are eligible for employment-related benefits, as per the applicable Principles of Engagement.

4.1.2 Probationer is a person who is employed to fill a regular / permanent position and has not completed the stipulated probationary period applicable to her / his level. On

satisfactory completion of the probation period, the probationer's service will be confirmed in writing. These employees will then become eligible for employment-related benefits, as per the applicable Principles of Engagement.

4.1.3 Contract employee (or Fixed-term Employee) is one whose contract of engagement is for a specific tenure and is eligible for employment-related benefits as specified in the individual contract terms.

4.1.4 Part Time Employee means an employee who is employed to work for less than the normal period of working hours on a working day/week. 'Part Time Employees' shall be entitled to a fixed compensation, and / or other benefits as mentioned in their terms of appointment.

4.2. Manpower Planning

4.2.1. Manpower Planning helps to estimate the annual manpower costs and ensures its alignment with the current plans of UPES. This provides clarity to HR department on the basis of which recruitment strategy for the year is designed by Head - HR in consultation with the Vice-Chancellor/ and Deans/Functional Heads.

4.2.2. Manpower plan should clearly indicate

i the positions,

ii number of vacancies

iii the type of employment and

iv whether it is a new/ replacement position.

4.2.3. The final approval on manpower plan will be given by the Vice-Chancellor

4.3. Job Description

4.3.1. Job descriptions are an important input for HR to hire the right candidate.

4.3.2. It is the responsibility of the Reporting Manager to prepare a Job Description in the prescribed format in consultation with HR for every position.

4.3.3. The Dean / Functional Head is required to approve the Job Description.

4.4. Recruitment Process

4.4.1. Vacancy and Approval

a. Recruitment is the responsibility of the Reporting Manager and s/he shall initiate the recruitment process for a vacant position.

b. The Reporting Manager is required to inform HR when a vacancy arises, through an e-mail.

c. In case of a vacancy arising, which is not part of the annual manpower plan, a business case will have to be presented by Deans/ Functional Heads to the Vice-Chancellor and Head - HR for exceptional approvals.

d. HR will be responsible for identifying the sources to be used for sourcing of candidates.

e. The different sources of hiring are as described below:

External Sources	Internal Sources
Job Portals like Naukri, Monster	Internal Mobility/Job Posting
Social Networking sites like LinkedIn	In-house Data Bank
Consultants	Employee referrals
Advertisement in newspapers	UPES Website
Campus Hiring	

f. Vacancies will be advertised on the identified Job Portals by HR for a minimum of 30 days depending on the urgency of the required position

g. Consultants / Executive Search firms

- Recruitment consultants are specialists in sourcing candidates for all kinds of recruitments and their services can be used for recruitment for various positions.
- The terms and conditions including the commercials for the recruitment agencies shall be negotiated and empaneled accordingly by HR.
- HR shall coordinate the entire process with the recruitment consultant. No other employee will contact recruitment agencies directly. However, employees may refer such consultants to the HR, who may then follow the empanelment process.
- The recruitment consultants engaged shall be evaluated every 6 months and may be changed if the services offered are not found satisfactory.
- HR will track the expenses on regular basis and maintain the records.

h. Advertisements in Newspapers

- HR shall give advertisements in local and national newspapers regarding vacancies at UPES.
- The content of the advertisement shall be drafted by HR in consultation with the Vice-Chancellor / Deans / Functional Heads.

i. University Website and Social Networking Sites

- HR shall also upload the vacancies on UPES website and the UPES's accounts on various social networking sites, as and when required. No employee will be authorized to post any vacancy on social networking websites without prior approval from HR.

j. In House Data Bank

- All applications, as well as CVs received at any point in time will be stored in data bank atUPES for future references for recruitments and can be used as and when new vacancies arise. HR will be responsible for maintaining this database.
- All original applications together with completed short-listing/rejection notes (if any) must be preserved by HR for at least one year from the date of application.

INTERNAL JOB POSTING (IJP)
PROTSAHAN



1. Objective

1.1. At UPES, we are committed to fostering a culture of growth and career progression within the organization. The Protsahan - Internal Job Posting (IJP) Program aims to provide employees with opportunities to advance their careers by applying for open positions before external hiring takes place. The initiative is designed to encourage internal talent mobility, career growth, and employee satisfaction.

2. Applicability

2.1. This policy applies to all permanent employees of UPES who meet the eligibility criteria and wish to explore new opportunities within the organization.

3. Guidelines

3.1 To apply for an internal job posting under the Protsahan Program, employees must meet the following conditions:

3.1.1 Must have completed a minimum of 2 years in their current role. Subject to the requirement and open position available.

3.1.2 Must have received a performance rating of '3' or above in the last two performance review cycles.

3.1.3 Must possess the necessary qualifications, skills, and behavioral competencies required for the role.

3.1.4 Must inform their immediate manager before applying for an internal role.

3.1.5 Employees must not have any active disciplinary actions against them at the time of application.

3.2 Application Process

3.2.1. Based on the recruitment plan and the position, HR shall first make an attempt to utilize an internal resource to fill in the vacancy.

3.2.2. Job Posting: Internal job openings will be shared with employees via email or the HR portal.

3.2.3. Application Window: The IJP will be active for 1 week from the date of posting within which the interested employees can apply with last date for application clearly being specified in the IJP.

3.2.4. All employees meeting the eligibility criteria can apply to the position keeping their managers informed about the same. These applications will reach the internal mobility counsellor who will then evaluate all the applications based on the eligibility criteria. All those meeting the eligibility criteria will then be evaluated by the hiring manager(s).

3.2.5. Screening & Shortlisting: HR will review applications based on eligibility criteria and role requirements.

3.2.6. Interview Process: Shortlisted employees will undergo the same selection process as external candidates, including interviews and assessments.

3.2.7. Final Selection: The hiring panel will make the final decision, and selected employees will receive an official offer for the new role.

Notice period in the department: employee shall serve the notice period in the existing department as per the agreed terms with the reporting manager

3.2.8. Once the movement of the employee is finalized, the movement will happen at the same level and any increments or promotions will happen as per the merit cycle. If a movement happens during the middle of the year – ratings from both managers will be taken on a prorated basis and a common rating will be arrived at.

3.2.9. Relocation assistance will be paid in the event of change of place of work due to a successful IJP movement.

3.2.10. This policy may see certain variations depending on the need of the role, which shall be informed with the IJP mail.

3.4 Benefits of Protsahan- IJP

3.4.1. Provides employees with growth opportunities within the organization.

3.4.2. Encourages career development and skill enhancement.

3.4.3. Enhances employee engagement and job satisfaction.

3.4.4. Retains valuable talent within UPES.

3.5. Policy Governance

3.5.1 The HR Department is responsible for ensuring compliance with the Protsahan IJP Policy. All decisions made under this program are final and binding. For further clarification, employees may contact their HR Business Partner (HRBP).

JOINING AND INDUCTION POLICY



1. Objective

1.1. The purpose of this policy is to ensure that new joinees feel welcomed and settled in the new environment with all relevant information related to employment.

The policy details the joining process and formalities to be completed by new joinees at UPES. It also outlines the induction process to ensure that new joinees are made familiar with the culture, values and Principles of Engagement of UPES and are inducted into their role and work environment.

2. Applicability

2.1. This policy is applicable to all full-time employees, including those appointed on contract basis. Visiting faculty will be given a brief Induction by respective Head of Department, based on the duration of their contract and the criticality / nature of their role.

3. Guidelines

3.1 Policy flow

3.1.1 The joining and induction policy has been divided into three parts –

a. Pre- Onboarding Formalities

b. Onboarding Process

c. Induction at Campus

3.2 Pre - Onboarding

3.2.1 New hires are required to submit the signed Letter of Intent as a token of acceptance of the offer, within 7 days from the date of offer roll-out.

3.2.2 It is the responsibility of HR to contact the hired candidate 2 weeks before the joining date and provide advance information pertaining to joining such as list of documents to be submitted, address of the joining location, contact person at the joining location etc.

3.2.3. HR will ensure that all arrangements are made, in coordination with the Administration and IT departments, to facilitate smooth joining experience.

3.2.4 HR is also required to update the Deans/ Functional Heads about the joining date and other details of the new hire.

3.3 Joining and On-boarding

Newly appointed / recruited employees are required to report at the assigned location / campus on the date mentioned in the Letter of Intent.

3.3.2 On the first day, joining formalities will be undertaken by HR, as detailed below:

a. New joinees should submit a copy of the following documents to HR and carry the originals for verification. Original documents should also be produced for verification, if required

- Signed Letter of Intent
- Resume
- Education certificates - 10th, 12th, graduation, post-graduation, others
- Resignation Acceptance / Relieving letter from the last employer / Experience letter from
- previous employers
- UAN
- Declaration of dependents
- Proof for current and permanent address
- Emergency Contact details
- Passport size photographs-6
- Aadhaar Card
- PAN Card

- Nationality Proof (A copy of the Passport) and Work Visa to be obtained in case of Expatriates
- Passport
- Verification from appropriate authorities as required in case of Expatriates

b. Post submission of documents, the new joinees will be provided 2 hard copies of their Appointment Letters. They shall keep a copy for themselves and sign the other copy and hand it over to HR for filing.

c. New joinees will be required to fill-in relevant forms (such as personal detail forms, PF(Form-11 & Form-2) and Gratuity nomination form, IT declaration form, etc.).

d. HR will take the new joinees through a HR orientation session on the day of their joining, which will include the following:

- Company Overview, History, Core Values etc.
- HR Policies in a nutshell
- Links to important online portals / systems and a checklist to the employee(s) detailing out the first 90 days journey
- Contact details of the immediate Reporting Manager, Buddy and HRBP
- Office tour and introduction to the leadership team
- Introduce the employee to her/his Reporting Manager/ / Functional Head and buddy

e. The function shall take the individual(s) through department know how, that will help the individual(s) understand function better. These know how's shall include the following (but not limited to) elements as mentioned below:

- Strategic overview, domain and scope of the department, key priorities/goals for the department;
- Function structure, workflow / processes, SOPs, key stakeholders within and outside the Department,
- Roles and Responsibilities / pre-work for Goal Setting for the employee and KRAs.

f. The school/ function shall take the individual(s) through departmental induction that will help the individual(s) to understand the school/ function better.

3.3.3 Induction at Campus

- A formal and detailed Induction program organized by HR for 2 days, followed by 3 days induction by the respective schools/ departments for the new joinees at the Campus. However, for some employees the duration of the induction may vary according to seniority and criticality of the role.

- HR will communicate the date along with the schedule of the induction to both the new joinees as well as the employees conducting the Induction.
- Attendance for the 2 days induction program by all new joinees is mandatory and no exemption from the same shall be allowed.

3.4 Buddy System (Sahayak)

3.4.1 As indicated above, each new joinee shall be assigned a buddy, who will assist her/him to settle at UPES and address their queries, in the initial days of joining.

3.4.2 Buddy should be identified as per the criteria stated below:

a Should have been in the system for a minimum period of 1 year;

b Has a willingness and ability to support others;

c Has a good track record of performance;

d Is skilled in / has knowledge of the new employee's job;

e Is a peer of the new employee;

f Has excellent communications and interpersonal skills;

g Is well regarded and accepted by current employees.

3.4.3 Periodic workshops for buddies shall be conducted to apprise them of the scope, role and details on how they are to provide navigational support the new joinee.

PROBATION AND CONFIRMATION POLICY



1. Objective

1.1. The purpose of this document is to lay down the guidelines pertaining to the probation and confirmation of full-time employees at UPES.

1.2. Need for Probation

1.2.1. Probation period helps the new employees to become more proficient at their job with the support from UPES

1.2.2. From the University's perspective, probation period provides opportunity to gauge areas of strengths and development of new employees and plan developmental activities accordingly.

1.2.3. It allows UPES to train and evaluate the new employees on various competencies and ensure that, at the time of confirmation, all employees are aware of University's expectations from them.

2. Applicability

2.1. This policy is applicable to all full-time employees.

3. Guidelines

3.1. Probation Period

3.1.1. All faculty members shall be on probation for a period of 1 year, from the date of joining. However, in case a faculty member demonstrates exceptional performance, s/he may be confirmed after 6 months of joining, subject to assessment of performance and approval by the Approving Authority indicated in Performance Review and Confirmation Process.

3.1.2. All non-faculty members shall be on probation for 6 months, from the date of joining.

3.1.3. Reporting Manager should discuss the performance expectations, goals and KRAs with the new employee, within 30 days of his / her joining, and the same should be documented by the employee and signed off by the Reporting Manager. These goals and KRAs would form the basis of performance review process during the Probation period.

3.1.4. Additionally, employees in G4 and above should also draft a 90 days Action Plan in consultation with their respective Reporting Managers, which would provide them with a clear roadmap for this initial stage of association and enable smoother transition into their roles.

3.1.5. HR should interact with the new employees on regular intervals to understand if the employees have acclimatized to the culture and environment and address any issues which the employees might have.

3.2. Performance Review and Confirmation Process

3.1.1. All faculty members shall be on probation for a period of 1 year, from the date of joining. However, in case a faculty member demonstrates exceptional performance, s/he may be confirmed after 6 months of joining, subject to assessment of performance and approval by the Approving Authority indicated in Performance Review and Confirmation Process.

3.1.2. All non-faculty members shall be on probation for 6 months, from the date of joining.

3.1.3. Reporting Manager should discuss the performance expectations, goals and KRAs with the new employee, within 30 days of his / her joining, and the same should be documented by the employee and signed off by the Reporting Manager. These goals and KRAs would form the basis of performance review process during the Probation period.

3.1.4. Additionally, employees in G4 and above should also draft a 90 days Action Plan in consultation with their respective Reporting Managers, which would provide them with a clear roadmap for this initial stage of association and enable smoother transition into their roles.

3.1.5. HR should interact with the new employees on regular intervals to understand if the employees have acclimatized to the culture and environment and address any issues which the employees might have.

3.3. Extension of Probation Period

3.3.1. In case the performance of the employee is not satisfactory during the probation period and a need for further evaluation / coaching is felt, the probation period of the concerned employee shall be extended by 3 months and at the same time Performance Improvement Program (PIP) shall be initiated.

3.3.2. The reasons for extending probation should be clearly indicated in the Probation Extension Letter.

3.3.3. If the performance at the end of the extension period is found to be satisfactory, the employee shall be confirmed as per the PIP process, otherwise, the probation period will be further extended by 3 months on PIP and notice period will be initiated.

3.3.4. If the employee is found to have improved and performance is found to be satisfactory, Probation Confirmation Letter will be issued to her/him at the end of Probation Extension and the employee shall be put on normal course of performance.

3.4. Termination of Employment

3.4.1. After two extensions on probation, if performance of the employee is still found to be unsatisfactory, UPES shall have the right to terminate the employee with immediate effect.

3.4.2. If the employee wishes to resign during the probation period, a written notice has to be given to the Reporting Manager, along with the reason(s) for separation.

3.4.3. In all such cases, the separation process will be in accordance with the Employee Separation Policy of UPES.

WORK NORMS **POLICY**



1. Objective

1.1. This policy lays down the work norms, to facilitate smooth working and also help create conducive environment at UPES

2. Applicability

2.1. This policy is applicable to all full-time employees including those appointed on contract basis at UPES.

3. Guidelines

3.1. Hours of Work

3.1.1. UPES observes five working days in a week.

3.1.2. All non-academic employees must work 8 hours daily within 8:00 AM to 8:00 PM, including a 30-minute lunch break. Core hours are 10:00 AM to 4:00 PM. Flexibility is allowed between 8:00 AM –10:00 AM and 4:00 PM – 8:00 PM. Exceptions required Reporting Manager's approval.

3.1.3. Faculty – Academic are required to be on campus for a total of 40 hours per week, with a minimum presence of 4 hours each working day. Faculty must strictly adhere to their scheduled class timings, departmental meetings, and any additional responsibilities related to work needs, as assigned by the department or institution.

3.1.4. All employees are expected to adhere to the time-table and shall ensure that meetings and work deliverables are not impacted due to their flexible schedule.

3.2. Attendance System

3.2.1 UPES requires all regular employees and contractual Resources to record their entry and exit as per the location-specific attendance process to ensure safety and compliance.

3.2.2. Work timings and schedules may vary depending upon exigencies of work, as specified by UPES from time to time.

3.2.3. The employees may be required to work additional hours and on Holidays / Weekly offs, to meet varying needs of UPES.

3.3. Support for Working Late and on Holidays / Weekly-offs

3.3.1. In its endeavor to appreciate the extra time devoted by an employee for official requirements. UPES provides the following support to the employees who need to stay late post 08:30pm or work on a holiday / weekend with the prior approval from the Reporting Manager. Additionally provide advance information to the Administration department regarding the same, to enable them to make necessary arrangements

a. An employee shall be entitled for meal at MDC/reimbursement of bills on actual basis.

b. Conveyance reimbursement as per Local Travel Policy. In Case female employee is working beyond 7:30 PM, Cab would be Provided with her preference with prior approval of reporting head

c. Employees will be given a compensatory off in lieu of working on a Holiday / Weekly-off for minimum of 6 hours

d. Compensatory-off shall not be provided in case of working on strategically important days and for University Events

Note:

For the Details on compensatory off, please review the compensatory off under leave policy

3.4. Outdoor Duty

3.4.1. All employees should apply for outdoor duty in the online portal (ESS), in a timely manner (by 15th of every month) and seek approval on outdoor duty from their Reporting Manager.

3.5. Uninformed Absenteeism

3.5.1. Employees are expected to seek approval from their Reporting Manager prior to taking any leave of absence.

3.5.2. In case an employee is absent without any prior intimation, and he / she is not traceable for 3 consecutive working days, it would be considered as a case of absconding.

3.5.3. Uninformed absenteeism for 10 days or more without information leads to termination and university will take appropriate action as stated in the UPES – Code of Conduct.

3.6. Personal Data Change

3.6.1. Accurate personal records are required for the benefit of both the employee and UPES. It is the responsibility of employees to keep HR informed of any change in their personal circumstances such as:

a. Permanent Address

b. Current Address

c. Contact Details

d. Emergency Contact Details

e. Marital Status

f. Change in nominee for statutory requirements

g. Change in Name

h. Details of Dependents

i. Attainment of educational and professional qualifications

j. Any other such relevant details

3.7. Housekeeping Practices

3.7.1. All employees shall keep their work environment clean and in order, so as to adhere to good housekeeping practices.

3.7.2. Employees are expected to properly maintain the tools and equipment. Of UPES. However, in case of problems encountered, in relation to any tool or equipment the employee shall immediately notify the department concerned. Employees are also requested to consciously handle consumables to avoid wastage, viz., office supplies, electricity and water.

LEAVE POLICY



1. Objective

1.1 The objective of this policy is to define the types and entitlement of leaves and provide guidelines for its administration.

2. Applicability

2.1. This policy is applicable to all full-time employees.

2.2. Employees appointed on contract will be entitled to leaves as specified in their individual terms of employment.

3. Guidelines

3.1. Types of Leaves

3.1.1. Employees are eligible for the following types of leaves as per the leave matrix below:

Sr.No.	Leave Type	Entitlement
1	Privilege Leave (PL)	25 days
2	Casual Leave (CL)	10 days
3	Sick Leave (SL)	Minimum 3 days & Maximum Unlimited

4	Maternity Leave	AMaximum of 26 weeks up to 2 children; Maximum up to 12 weeks for more than 2 children *As per law Maternity Benefit Act (1961) and subsequent amendments (if any)
5	Paternity Leave	15 days
6	Adoption Leave	90 days
7	Happiness Leave	1 day either on Wedding Anniversary or Birthday of Self/Spouse/ In laws/Parents, Child/Sibling
8	Bereavement Leave	5 Days Leave

3.3. Privilege Leaves

3.3.1. Privilege Leaves (PLs) are provided for planned long leaves and UPES encourages its employees to avail these leaves.

3.3.2. However, employees are expected to plan their leaves in such a way that does not impact their work deliverables as well as ensures their presence for strategically important days/events of UPES.

3.3.3. Each employee basis their date of joining shall be eligible for 25 days of PL in a Calendar Year, which will be credited on a monthly basis, at the rate of 2.08 PLs / month.

3.3.4. Privilege leave should be availed for a minimum of 1 day.

3.3.5. Holidays / weekly offs falling before and/or after the PL period will not be included for the purpose of calculation of leaves.

3.3.6. However, holidays or weekly offs falling in between the PL period shall be counted for the purpose of calculation of leaves.

3.3.7. It is expected that employees shall seek approval on PLs as per the guidelines mentioned below:

a. PLs for more than 5 days – 15 days in advance

3.3.8. The authority for leave approval will be the Reporting Manager of the employee.

3.3.9. Carry Forward and Accumulation

a. 15 days of unutilized PL's or numbers of prorated PL subject to DOJ "for the 1st year" will carryforward.

b. Employees can accumulate PLs up to a maximum of 45 days.

3.3.10. Encashment

a. If the accumulated PLs exceed 45 days in the leave account of an employee at the end of each calendar year (i.e. December 31), the excess PLs will be lapsed.

b. For leave encashment purposes, the last drawn basic salary will be considered for calculation.

c. At the time of separation, only confirmed employees shall be entitled to the encashment of all their accumulated PLs, subject to applicable taxation rules.

3.4. Casual Leaves

3.4.1. Casual Leaves (CLs) are provided to enable employees to attend to any routine activity or unforeseen situation on the personal front.

3.4.2. Employees are eligible for 10 CLs in a calendar year, which is pro-rate to their date of joining. These leaves will be accrued on monthly basis.

3.4.3. At any point of time, no employee can avail more than two days of CLs at a stretch.

3.4.4. Weekly offs or holidays preceding, succeeding or falling in between the CL period will not be included for the purpose of calculations of leaves.

3.4.5. CLs can be combined or clubbed with any other type of leave.

3.4.6. Employees may avail CLs for half day also. To avail half-day leave, the employee is required to be present in the office for a minimum of four hours on that day; otherwise, a full day leave will be deducted.

3.4.7. Unutilized CLs will lapse at the end of the calendar year; CLs cannot be accumulated and uncashed under any circumstance.

3.4.8. Employee should inform the Reporting Manager by way of phone call, message, e-mail, etc. prior to proceeding on such leave and also apply for leave approval on the portal.

3.5. Sick Leaves

3.5.1. Sick Leaves (SLs) are provided to the employees to help employees recoup on account of chronic illness or other medical exigencies such as critical illness prolonged hospitalization

3.5.2. Employees can request for unlimited sick leaves during their employment with UPES on the stated terms and conditions:

i. Approval from Functional Head (G4 & above) and HR Head up to 30 days.

ii. Beyond 30 days, VC's approval is required through HR Head.

3.5.3. Notwithstanding anything in this policy, any leave shall qualify as sick leave provided all the following conditions are met:

- Leave is for a serious illness (hospitalization required for over 24 hours).

- The leave is for 3 or more days.
- Supporting relevant medical documents to be provided.
- A medical fitness certificate is submitted before resuming work.

3.5.4. Common illnesses like cold-cough, mild fever, seasonal viral, flu, stomach upset, headache, Slip Disc, etc shall not be considered for the purpose of sick leave, unless the hospitalization for more than 24 Hours. CL / PL can be availed for such cases

3.5.5. Employee is expected to inform the Reporting Manager, through messages, calls or emails, in case s/he is unable to come to work due to medical exigencies / hospitalization

3.5.6. Such leaves when approved by the Reporting Manager & Functional head and HR department, after validation of documentary proof, shall be treated as approved sick leave.

3.5.7. In case the employee does not have clarity on when s/he shall resume service due to prolonged medical exigency, it is her/his responsibility to ensure that her/his Reporting Manager & Functional head is updated on the developments and the probable date of joining.

3.5.8. Reporting Manager & Functional head shall be responsible for highlighting cases of sick leave exceeding 7 consecutive days to Dean / Vice-Chancellor/ and HR.

3.6. Maternity Leave

3.6.1. Maternity Leave will be available to all female employees to take time off work during the prenatal / postnatal stage of the child.

3.6.2. Maternity Leave can be availed up to a maximum of 26 weeks with full pay for up to 2 children and 12 weeks for more than two children

3.6.3. This is in accordance with the provisions of the Maternity Benefit Act (1961) and amendment of the Maternity Benefit Act (2017).

3.6.4. Maternity Leave with full pay will be given to employees who have completed a minimum of 80 days on the payroll in the 12 months preceding the expected date of delivery.

3.6.5. All intervening holidays / weekly offs will be counted as a part of the Maternity Leave.

3.6.6. In order to avail Maternity Benefit, eligible employees are required to submit an application to their Reporting Manager along with supporting medical documents. This would be to inform the expected date of delivery and the date on which Maternity Leave is to commence.

3.6.7. Subsequent to approval from Reporting Manager, the application should be submitted to HR for records and processing of salary / leaves.

3.6.8. In case the employee is unable to submit the application before proceeding on maternity leave, she may give the application as soon as possible.

3.6.9. The failure to give such application will not disentitle the employee from the maternity benefits and other entitlements.

3.6.10. Leave in case of miscarriage: In case of miscarriage or medical termination of pregnancy, an employee on production of related medical documents will be entitled to leave with full pay for a period of 6 weeks immediately following the day of her miscarriage or medical termination of pregnancy.

3.6.11. In case of illness of the new born baby, the employee shall be allowed to avail PL/CL in continuation to Maternity leave on production of Medical Certificate specifying the same.

3.6.12. All employees on returning to duty after maternity leave, shall, in addition to the rest allowed to her, be allowed 2 breaks during her daily work hours for nursing the child until the child attains the age of 15 months.

3.6.13. Extension of Maternity Leave

a. The extension of Maternity Leave will be applicable post completion of the entitled Maternity Leave.

b. If extension of Maternity Leave is required, employee should apply for the same at least 1 month in advance.

c. The approval on extension of Maternity Leave will be provided by respective Reporting Manager.

d. The extension will be granted for a maximum duration of 6 months, which will be first adjusted against the available PL balance of the concerned employee. If PLs are exhausted, the balance extension period will be considered as a leave without pay.

3.6.14. Child Support Post Maternity Leave

a. UPES will support the employees who have returned from Maternity leave and those who have kids below the age of 6 years.

- Employees at campus – day care facility on campus
- Other offices – day care facility around the offices.

b. Female employees may visit the facility to take care of their children as required.

3.7. Adoption Leave

3.7.1. Adoption Leave will be provided to female employees as well as single male parent on legal adoption of a child.

3.7.2. Adoption leave will be with full pay and for a period of 90 days.

3.7.3. Adoption leave to a male employee when he is not a single parent will be 15 days as per the paternity leave policy .

3.7.4. The employees are required to submit application for Adoption Leave to Reporting Manager, along with the adoption certificate.

3.8. Paternity Leave

3.8.1. A male employee will be entitled to paternity leave for a period of 15 days, on child birth or legal adoption.

3.8.2. Employee can avail paternity leave within 30 days from the child's birth date.

3.8.3. This leave can be availed in one go or employee may avail the leave in two parts as required.

3.8.4. Employee should apply for the leave and seek prior approval from respective Reporting Manager.

3.9. Summer Vacation

3.9.1 Confirmed Academic faculty members will be eligible for a summer vacation of 15 days (7PL+8 days contributed by UPES) except Cluster Head, Assistant Dean and above.

3.9.2 Faculty members must apply 7 days Privilege Leave followed by 8 days Summer Break and it should be in continuation without any break in the period(Including Saturday-Sunday).

3.9.3 Faculty members need to apply for the summer vacation (in ESS) and seek approval from the Reporting Manager.

3.9.4 This summer vacation can be availed during the period 15th May to 31st July.

3.9.5 Weekends or holidays falling within the Summer Vacation period shall be counted as part of Summer Vacation, whereas weekends / holidays prefixed or suffixed with Summer Vacation shall not be counted.

3.9.6 The Summer Vacation will be lapsed after the expiry of summer vacation window.

3.10 Other Leaves

3.10.1 Bereavement Leave

a. In the event of a death in employee's immediate family or next of kin, UPES grants Bereavement Leave of up to 5 days.

b. Immediate family for this policy is defined as spouse, children, parents, grandparents, grandchildren, siblings, spouse's parents, son-in-law and daughter-in-law.

c. Employee is expected to inform the Reporting Manager before proceeding on such leave.

3.10.2 Relocation Leave

a. Relocation Leave of 7 consecutive days can be availed by employees only in the following 2 cases:

- In case of transfer initiated by UPES/ transfer under internal mobility policy.
- A new employee relocating to join UPES.

b. An employee may avail Relocation Leave on arrival at the new location, subject to prior approval of the new Reporting Manager and information to HR.

c. This leave must be availed within the one month of joining the new location.

3.10.3 Happiness Leave

a. 1 day in a calendar year

b. Employees can avail a Leave for one (1) day in a calendar year (1 day either on Birthday or Wedding Anniversary of Self, In laws/Parents, Child, Sibling.)

c. This leave cannot be carried forward / accumulated / encashed.

3.10.4 Sabbatical Leave

a. UPES encourages its employees to focus on research and other self-development initiatives.

b. UPES may grant sabbatical leave for a minimum of three (3) months maximum of twenty-four (24) months to its employee to pursue such initiatives.

c. Sabbatical leave may be granted to employees to undertake Research work where UPES shall directly benefit from it. Such Research work may be at:

- An Academic Institution/University in India or Abroad
- Research work or a project with the Industry in India or abroad
- Taking up assignments in any other agency or institution

d. Employees require a minimum of 3 years of continuous service with UPES to be eligible for Sabbatical Leave.

e. Sabbatical Leave can be availed up to twice during the employment period with UPES with a minimum gap of 3 years of continuous service between the two Sabbatical periods.

f. An employee who has availed study leave will be entitled for sabbatical leave only after the expiry of 5 years from the date of the faculty member's return from previous study leave.

g. The employee is required to submit documentary evidence in support of the reason / condition of such leave on rejoining the duty.

h. Such Leave shall always be without pay and allowances, but it will be considered as a period of continuous service and for seniority of the employee.

i. Employees on Sabbatical Leave will not be allowed to accept any appointment with any other University in India or abroad. However, s/he may receive a scholarship or a fellowship.

j. Sabbatical leave should be planned and applied for at least one semester in advance so that planning for work-related commitments and work load can be undertaken with the existing employees in the department.

k. Final approval for sabbatical leave will be given by the Vice-Chancellor / Head HR as applicable.

l. Leaves start and end dates must not fall within the ongoing semester period

3.10.5 Study Leave

a. Study leave is defined as any leave taken for the purpose of enhancing one's academic qualification which will include successful completion of a certificate, diploma or degree program.

b. Employees need to have a minimum of 2 years of continuous service with UPES to be eligible for Study Leave.

c. Study Leave can be granted for up to 2 years may in the first instance, which may be extended by one more year.

d. Final approval for study leave will be given by the Vice-Chancellor / Head HR, as applicable.

e. An employee who has availed sabbatical leave will be entitled for study leave only after the expiry of 5 years from the date of the employee's return from previous sabbatical leave.

f. Such leave shall always be without pay and allowances, but it will be considered as a period of continuous service and for seniority of the employee.

g. Leaves start and end dates must not fall within the ongoing semester period

3.10.6 Duty Leave

a. Duty Leave may be granted to employees for attending following official duties or regarding Ph.D.:

- Up to 7 days on full pay for submission of Ph.D. and Viva Voce (once in service), with the condition that employee shall not be allowed TA / DA along with this leave;
- Attending conferences / seminars / workshops on behalf of the University or with the permission of the University;
- Delivering lectures in institutions at invitation of such institutions received by the University and accepted by the Vice-Chancellor.
- Participating in a delegation or working on a committee appointed by Central or State Government, the UGC, another University or any other academic body, with prior permission of the competent authority.
- For performing any other duty as assigned by the University.

b. The duration of the leave shall be sanctioned with prior approval from the Reporting Manager.

c. The leave may be granted on full pay, half pay, or without pay, depending upon the recommendation of the Dean and approval from Vice- Chancellor.

d. Duty Leave cannot be combined with any other kind of Leave except with prior approval of the Vice Chancellor.

3.10.7 Leave with Lien

a. A faculty member who wishes to leave UPES to take up an assignment or a job, that is permanent or on contract offered by any Indian or International University/academic institution, the Government of India, its autonomous organization or any Public-Sector Undertaking, s/he may request a Leave with

a Lien on the position s/he currently holds at UPES.

b. During the period of lien, the faculty member will effectively not be in the service of UPES but will have the right to return to the post on which s/he has been granted a lien.

c. Liens can be granted at most twice to any faculty member and the total period of all liens cannot exceed 3 years.

d. A faculty member needs to have minimum 5 years of continuous service with UPES to be eligible for lien.

e. The faculty member should apply for leave with lien to the Vice-Chancellor with the following information:

- Offer letter for the assignment/job being offered,
- Start date of lien,
- Period for which lien is sought

f. The application should be forwarded through the respective Dean to the Vice-Chancellor and Sr.Head - HR.

g. A faculty member can hold the lien only up to the date of her/his superannuation at UPES.

h. The lien will be valid only as long as the faculty member holds the assignment/job for which lien was initially granted.

i. The faculty member will have the right to re-join UPES in the period of the lien provided s/he resigns the position for which s/he was granted the lien.

j. The faculty member should inform the institute of her/his intention to do so at least a month before the date of joining.

3.10.8 Compensatory Off

a. Employees can avail compensatory off if they have worked on a Holiday / Declared Holiday/ Weekly-off for 6 continuous hours.

b. Compensatory off shall be given only if approval is taken from Dean/ Functional Head prior to working on a Holiday / Declared Holiday / Weekly off.

c. Additional guidelines for availing compensatory offs are given below:

- For Academic Support: Compensatory off must be availed within a period of one month from the date on which the employee has worked, or it will lapse
- For Faculty Academics: compensatory off to be availed any day within the semester without impacting teaching schedule prior to the beginning of next academic semester
- Compensatory off can be taken for a maximum of 2 consecutive days
- Compensatory off can be clubbed with CL / Holidays
- The Compensatory off can be availed up to Senior Managers (Non-Academic) and below Cluster Heads/ Associate/ Assistant Deans (Academics)

3.10.9 Leave without Pay

a. UPES does not encourage its employees to take unpaid leaves. However, in case of exceptional circumstances, employees may avail Leave without Pay, subject to approval from Vice-Chancellor.

b. Each application for Leave without Pay will be considered on its merits.

c. Leaves (PL and CL) shall not be accrued for period during which the employee is on Leave without Pay.

d. The period of leave without pay shall not be considered towards the seniority and salary increment for the employee.

3.11 Holidays

3.11.1 Employees will be entitled to 14 Holidays during a year.

3.11.2 Holiday Calendar will be prepared and published by HR every year in advance.

3.12 Leave Requests

3.12.1 All leave requests should be applied through Employee Self Service (my space) for approval.

3.13 Guidelines on Usage of Leaves

3.13.1 Employees are expected to use their leave eligibility responsibly in adherence to UPES leave policy.

3.13.2 Employees are also advised to inform their Reporting Manager well in advance and ensure that their work and that of others does not suffer on such account.

3.14 Contact During Leave

3.14.1 As employees may need to be contacted during the leaves, they are expected to keep their contact information updated with the Reporting Manager and HR.

3.15 Non-Discrimination

3.15.1 It is UPES's policy to be fair and impartial in all its dealings with employees. UPES will not discriminate against employees as a result of the approved use of leave or a proper request for such leave.

Note:

If an employee fails to report to duty upon the expiry of the approved leave period without prior intimation or further approval, the University reserves the right to initiate appropriate disciplinary action, up to and including termination of employment, in accordance with applicable rules, regulations, and service conditions.

TRAVEL POLICY



1. Objective

1.1. The travel policy is intended to facilitate travel for official purposes, while maintaining efficient business processes.

1.2. The travel policy outlines the entitlements related to official travel and the general guidelines to be followed for claiming reimbursements of travel expenses.

2. Applicability

2.1. This policy is applicable to all full-time employees of UPES as well as those appointed on contract/ deputation/third party payroll or visiting basis and external stakeholders.

3. Guidelines

3.1. Planning for Official Travel

3.1.1. Official travel should be conducted in the most cost-effective manner and should be consistent with the needs of UPES and its Code of Conduct, and all applicable laws.

3.1.2. All employees are expected to exercise prudent business judgment regarding incurring travel expenses. Employees should discuss the travel plans with their Reporting Manager, prior to initiation of travel request, in order to ensure agreement on the need to travel.

3.1.3. At UPES employee's health and safety is the prime prerogative and hence virtual

alternatives to travel, such as conference calls, web-conferencing and other collaboration technologies should be considered in lieu of travel, wherever possible.

3.1.4. All domestic and international travel should be booked by putting a request to the central travel desk.

Requests should be forwarded to traveldesk@upes.ac.in.

3.1.5. All domestic and international travel should be booked as far in advance as practical to allow tickets and hotel accommodation to be purchased as economically as possible.

3.1.6. In case of air travel, employees should be flexible enough (60mins) in planning their departure times to take advantage of the lowest cost flights on any of the preferred airlines. Travel desk has a flexibility to book the flights keeping a 30-minute margin from the employee's requested flight time.

3.1.6. The Travel Desk at UPES shall provide the facility of travel desk for all travel and hotel bookings pertaining to official travel. The Travel Desk shall ensure that appropriate mode is used for travel, basis the request received, and the eligibility guidelines indicated in this policy document.

3.1.7. All requests for travel should be approved and request to be initiated through the Travel desk only. The bookings, which are not routed through the travel desk, would not be reimbursed. The request shall be raised at least 7 days in advance for domestic travel and 30 days in advance for International Travel. The approved travel request should be sent to the Travel Desk within the prescribed timelines (as indicated in the subsequent sections of Travel Policy) for making travel and hotel bookings.

3.1.8. In case of any change in travel plans, employees should inform the Travel Desk and get the bookings changed/cancelled at the earliest possible to avoid high ticket and hotel booking cancellation charges.

a. Employees are allowed to keep their frequent flyer points or the potential for earning frequent flier mileage. Employees can use their mileage/ frequent flyer points or pay the difference themselves to upgrade to a higher class, provided no additional cost is passed on to UPES.

b. Any excess charges incurred in the form of airport tax or excess luggage on account of carrying UPES's official materials, claims for reimbursement can be submitted with proper bills and rationale after approval from Functional Head.

c. It should be noted that UPES will not reimburse the cost of personal trips, nor can the savings from travelling in a lesser category be used to purchase extra tickets for family or friends.

d. The charges for missed travel on scheduled date/ no show tickets will be debited to the employee's account.

3.2 Categorization of Grades for Travel Entitlements

3.2.1. For the purpose of defining eligibility and entitlements for official travel, the employee grades have been categorized as given below:

Grades	Designation
G5	President, Vice Chancellor
G4	Pro Vice Chancellor, Registrar, Dean, Provost, Finance Officer, Sr. Director.
G3	Vice Provost, Cluster Head/Associate Dean, Vice-Dean Assistant Dean, Professor Emeritus, Distinguished Professor, Sr. Professor, Professor, Professor of Practice, Design Fellow Equi. – Professor, Sr. Associate Professor, Associate Professor, Assistant Professor - Selection Grade, Controller of Examination, Director, Deputy Director, Joint Registrar, Deputy Registrar, Chief Proctor, Chief Librarian, Chief Medical Officer, Assistant Director, Adjunct Faculty, Adjunct Professor
G2	Assistant Professor - Senior Scale, Assistant Professor, Senior Manager, Manager, Assistant Registrar, Assistant Manager, Section Officer, Research Scientist, Associate Librarian, Nursing Assistant, Assistant Registrar, Sr. Lab Superintendent, Chief Security Officer, Sr. Associate Librarian, Resident Doctor, Medical Officer, Librarian, Security Officer, Psychologist (Counsellor), Trainer
G1	Student Recruitment Advisor, Lab Assistant, Executive, Quality Analyst, Project Assistant, Research, Associate, Sports Officer, Lab Supervisor, Executive Assistant, Driver, Personal Assistant, Sr. Lab Assistant, Sr. Warden, Warden. Academic Counselor, Sr. Research Fellow, Sr. Lab Technician, Lab Technician, Associate Design Fellow, Fire and Safety Officer, Technical Executive, System Administrator, Project Fellow, Lab Superintendent, Consultant, Assistant Librarian, Store Supervisor, Nursing Assistant, Research Assistant, Counsellor, Supervisor, Executive, Assistant

3.4. Domestic Travel

3.4.1. Domestic Travel refers to intercity official travel outside of the Employee and Contractual Resource's base location, with a distance of more than 100 KM.

3.4.2. Approving Authority

a. All domestic travels should be approved by the respective / Functional Head, on recommendation of the Employee and Contractual Resource' reporting manager.

b. Senior director and above travel can be planned on self-approval.

3.4.3. Mode of Travel

a. Mode of travel should be selected as per entitlement indicated below unless an Employee and Contractual Resource has asked for a higher mode of travel due to any work-related exigency. In such cases, exceptions would be approved by Functional Heads with an intimation to the Reporting Manager.

Grades	Class of Travel	Seat and Meal Options
G5	Air (Premier Economy /Economy) Train (AC I / EC)	Preferential Seat Option on extra payment by company and Corporate Meal
G4	Air (Premier Economy /Economy) Train (AC I / EC)	For Dean/ Senior Director and Above Preferential Seat Option on extra payment by company and Corporate Meal
G3 & G2	Air (Economy) if travel time by train is more than 12 hours; Train (AC II/ CC)	Corporate Meal in case of Air travel
G1	Train (AC III/CC); Bus (Sleeper/Semi-Sleeper)	

b. For intercity travel, use of taxi/ personal vehicle by Employees and Contractual Resources as a mode of travel should not be considered as first option. However, in exceptional cases taxi/ personal vehicle may be used with prior approval from the Functional Head.

c. Up to G2 Level below mentioned travel plan will be followed:

Number of Resource travelling	Mode of travel
one	Train or bus
two/three	Sedan Cab
four/above	Innova Cab

- For Travel beyond 12 hours of road journey, employee shall be eligible for air travel.

d. For train/air travel at odd hours (before 06:00am or after 8:00pm), pick-up and drop shall be provided to all female Employees and Contractual Resources through Travel Desk.

e. For G3

Number of Resource travelling	Mode of travel
One	Air travel is encouraged
Two	Sedan Cab
Three & above	Innova Cab

- Two or more employees travelling for same event/session/training are advised to club their travel together.
- Travel desk is requested to flag such travel requests to respective HRBPs for coordination ahead of the travel dates.
- Air travel is encouraged for employees travelling alone.

f. For G4 & above

Number of Resource travelling	Mode of travel
One/ Two/three	Innova Cab / Air Travel

3.4.4. Accommodation & Meals

a. The city classification for entitlements for Accommodation and Meals is detailed below:

- Metro Cities include Delhi, Mumbai, Chennai, Bangalore, Hyderabad, Kolkata and Pune
- Non-Metro Cities - All other cities

b. The entitlement limits for accommodation in hotels are given below:

Grades	Limits for Accommodation (in INR per night, excluding taxes)	
	Metro Cities	Non-Metro Cities
G5 & G4	12000	9000
G3	8500	6500
G2	7000	5500
G1	6000	5000

c. The entitlement limits for meals and incidentals are given below:

Grades	Limits for Meals (in INR per night, excluding taxes)	
	Metro Cities	Non-Metro Cities
G5 & G4	3000	2500
G3	2000	1500
G2	1500	1200
G1	1000	1000

d. In case Accommodation and Meals expenses exceed the specified limits, approval is required from the Functional Head.

e. Up to 10% of the Meals entitlement limit may be reimbursed without submission of bills.

f. In case of travel for 5 or more days, Employees and Contractual Resources can claim reimbursement for laundry.

g. Post approval the travel bills should be submitted directly by the Employee and Contractual Resource to Finance and these can be claimed upon return.

3.4.5. Entitlements in case Employee and Contractual Resource stays with relatives or friends.

a. Employees and Contractual Resources who stay with relatives or friends can claim reimbursement on incidentals as per the limits prescribed below upon submission of bills/ declaration (as applicable).

Grades	Limits for Meals (in INR per night, excluding taxes)	
	Metro Cities	Non-Metro Cities
G5 & G4	2700	2500
G3	1600	1500
G2	1200	1200
G1	800	1000

3.4.6. Local Conveyance while Travelling

a. Reimbursement for local conveyance would be provided on actuals, against submission of bills (as applicable), as per the Local Travel policy of UPES.

3.4. Accommodation & Meals

a. The city classification for entitlements for Accommodation and Meals is detailed as below:

- Metro Cities include Delhi, Mumbai, Chennai, Bangalore, Hyderabad, Kolkata and Pune
- Non-Metro Cities - All other cities

b. The entitlement limits for accommodation in hotels are given below:

Grades	Limits for Accommodation (in INR per night, excluding taxes)	
	Metro Cities	Non-Metro Cities
G5 & G4	12000	9000
G3	8500	6500
G2	7000	5500
G1	6000	5000

C. The entitlement limits for meals and incidentals are given below:

Grades	Limits for Meals (in INR per night, excluding taxes)	
	Metro Cities	Non-Metro Cities
G5 & G4	3000	2500
G3	2000	1500
G2	1500	1200
G1	1000	1000

d. In case Accommodation and Meals expenses exceed the specified limits, approval is required from the Functional Head / Dean

e. Up to 10% of the Meals entitlement limit may be reimbursed without submission of bills.

f. In case of travel of 5 or more days, employees can claim reimbursement for laundry.

g. Post approval the travel bills should be submitted directly by the employee to Finance and these can be claimed upon return.

3.4.5. Entitlements in case the employee stays with relatives or friends.

a. Employees who stay with relatives or friends can claim reimbursement on incidentals as per the limits prescribed below upon submission of bills/ declaration (as applicable).

Grades	Limits for Meals (in INR per night, excluding taxes)	
	Metro Cities	Non-Metro Cities
G5 & G4	2700	2200
G3	1600	1200
G2	1200	1000
G1	800	700

3.4.6. Local Conveyance while Travelling

a. Reimbursement for local conveyance would be provided on actuals, against submission of bills (as applicable), as per the Local Travel policy of UPES.

3.5. International Travel

3.5.1. International Travel guidelines pertain to official travel undertaken by employees outside of India.

3.5.2. The employees will be supported for any international travel-related requirements / approvals, such as visas, tourist cards and immunizations, by the Travel Desk.

3.5.3. Business class flight may be allowed to G4 (Dean/ Senior Director) and above employees.

*Travel dest team will make sure to adhere to the policy and avoid any inconvenience to our leaders

3.5.4. Employees are advised to use public transport for local travel within the city, wherever applicable, otherwise local taxi may be used. Reimbursements for this will be done on actuals, upon submission of bills (as applicable).

3.5.5. Geography Classification

a. The employees may be required to travel to various locations across the globe from time to time.

b. The entitlement limits for Boarding & Lodging (including meals) are given below:

Grades	Limits for Boarding & Lodging (in USD per night, inclusive of taxes)		
	USA, Canada	Europe, UK, Australia, Latin America, Japan, South Africa	Rest of the world
G5 & G4	450	500	400
G3	250	300	200
G2	200	250	150
G1	150	200	100

c. In case Boarding & Lodging exceeds the specified limits, approval is required from HR Head

d. Payments should be settled directly by the employee and these can be claimed upon return.

e. Employees shall be reimbursed for meals, against bills, on actuals.

3.5.6. Incidentals

a. The following expenses shall be reimbursed towards International Travel, upon submission of bills

- Laundry / Dry Cleaning (in case of hotel stay of 5 nights or longer)
- Purchase of local SIM/ phone card

b. Employees should use Local SIM/ Phone Cards while on International Travel.

c. Employees are recommended to use internet-based apps for making calls as bills for international roaming will not be reimbursed.

d. Additionally, incidental expenses of up to $20 per day shall be reimbursed on receipt of self-attested declaration from the employees.

3.5.7. Local Conveyance during international travel

a. During international travel, employee shall use the mode of transport as per the below matrix:

Category	Local Travel
G5 & G4	Cabs
G3	Cabs/Metro/Bus
G2	Cabs/Metro/Bus
G1	Metro/Bus / Public Transport

b. In case metro or bus service is not available then any mode of available public transport may be used.

c. Employees shall be reimbursed for travel expenses on actuals on submission of bills (as applicable).

3.5.8. Entitlements in case Boarding and Lodging is provided by the host

a. In case Boarding and Loading is provided by the host, only the following incidentals will be provided to the employee on actuals, against submission of bills:

Category	Maximum Limits for Incidentals (in USD per day)
G5	120
G4	80
G3	60
G2	60
G1	50

b. The above entitlement for incidentals is inclusive of expenses towards laundry, phone/ SIM, tips, etc.

c. Incidental expenses of up to $20 per day shall be reimbursed on receipt of self-attested declaration from the employees. This is inclusive of the above-indicated limits for incidental expenses.

d. In case travel is not taken care of by the host, employees shall use public transport as per local conveyance during international travel policy and will be reimbursed on actuals on submission of bills (as applicable).

3.5.9. Entitlements in case employee stays with relatives or friends

a. In case the employee chooses to stay with her/his relatives or friends during international travel, the following incidentals will be provided to the employee on actuals, against submission of bills/declaration.

Category	Maximum Limits for Incidentals (in USD per day)
G5	80
G4	70
G3	60
G2	60
G1	50

b. Employees shall use public transport as per local conveyance during international travel policy and will be reimbursed on actuals on submission of bills (as applicable).

3.6. Travel Advance

3.6.1. Necessary Travel Advance for hotel stay, food and any other expenses should be requested from accounts in writing along with travel approval, 15 days in advance.

3.6.2. The advance will be established at an amount that is reasonable i.e. the sum of daily entitlements.

3.6.3. Unused Travel Advance should be returned to UPES within 48 hours of return (excluding weekend/holidays) from the official travel.

3.6.4. Any Travel Advance not settled within one month will be deducted from the employee's salary.

3.7. Expense Claim for Official Travel

3.7.1. Employee should fill the Travel Expense Claim Form and submit to the Dean/ Functional Head for approval, along with supporting bills/ receipts. Travel Expense Claims of Dean/Functional Heads should be approved by the Vice-Chancellor.

3.7.2. In case of shared travel expenses such as meals, taxi rides, etc., the expense claim statement must include the name(s) of the other traveler(s) and the amount paid on behalf of the other traveler(s).

3.7.3. The employee should submit the approved travel expense claim form, along with supporting bills/ receipts, to the accounts post travel to settle the outstanding receivable within 15 days from the date of travel.

3.7.4. Expenses incurred towards local travel can be reimbursed using the Local Travel Conveyance Claim Form, (subject to approval by Reporting Manager and Dean/ Functional Head.

3.7.5. No reimbursements will be made for alcoholic beverages, cigarettes, and other similar self-comfort products.

3.7.6. Entertainment expenses will be reimbursed only if these are pre-approved by Vice-Chancellor.

3.8. Foreign Travel Currency Conversion

3.8.1. When employees pay for expenses in foreign currencies, they will be reimbursed in INR at the actual exchange rate for the travel period.

3.8.2. All expenses should be recorded on the Travel Expense Claim Form in INR, with the currency conversion rate clearly noted in the form. A foreign currency exchange receipt or a credit card billing statement should be submitted by the employee along with travel expense claim form.

3.9. Safety Guidelines

3.9.1. It is imperative for employees traveling for work to carry their photo identity cards and visiting cards with them at all times, so that in case of an emergency, the university can be intimated immediately.

3.9.2. Before traveling, employees must keep their Reporting Manager informed on the following:

a. Travel destination

b. Mode of travel

c. Hotel name and contact number at visiting location

d. Purpose of travel

3.9.3. Employees should avoid traveling, to the extent possible, in hired cabs/ cars, which do not have valid license /number plate.

3.9.4. To limit risk to the University:

a. Not more than 2 senior employees (G4 and above) should be on the same flight.

b. Not more than 3 people from one department should be on the same flight.

c. Not more than 10 people total from UPES on any one flight.

d. Exceptions must be approved by the Vice-Chancellor.

3.9.5. Odd hours Travel Policy

a. This policy is applicable to woman employees only and includes commuting/ local travel from workplace/any other location to home during domestic/ international travel.

- Female employees should avoid travel between 8:00 pm and 6:00 am.
- Male employees are permissible to travel in the odd hours only if cabs are available in the to & fro travel destinations
- If unavoidable, travel during the said hours should be undertaken using a cab provided by UPES from/ to airport/ workplace/ home.
- If required, UPES shall also provide hotel stay for additional day to female employees to avoid late night travel arrival between the said hours.

4. Local Travel & Cab Booking Guidelines for Outstation Guests

Business entities frequently host guests who are not an employee such guests may be / not limited to a Client, Expat, Candidate for Interview, Vendor, Government Official, Other University Deans / Senior Official, UPES hosting employee may organize a Taxi / Cab for such guests following the below cab category eligibility and Approval Matrix. The Local transport expenses of Outstation Guests would be booked in the department specific budget.

Guests Category	Cabs Category	Approval By
Vendors / Service Partners/ Government Officials	Cabs as per Business Head's/ Dean's approval	Business Head / Dean
Other University Deans / Senior Officials / Guest Speakers	Cabs as per Business Head's/ Dean's approval	Business Head / Dean
Candidate	As per Grade entitlement	HR Head

RELOCATION POLICY



1. Objective

1.1. The purpose of this policy is to define guidelines and provide assistance to the employees who are required to relocate from their current station of residence to a different location to join UPES on their first posting or are relocated/ transferred owing to University's needs.

2. Applicability

2.1 This policy is applicable to all full-time employees of UPES

3. Guidelines

3.1. Relocation Rules

3.1.1. Employees may be required to relocate to join the services of UPES; or may be transferred because of either University's needs or their request for transfer owing to their personal situations.

3.2. Relocation Approval & Relocation Letter for Existing Employees.

3.2.1. The relocation of existing employees, whether initiated by UPES or employees - initiated, shall be approved by the Vice-Chancellor/ Head HR

3.2.2. Employee-initiated transfers shall be considered only if a vacancy exists at the desired location.

3.2.3. Once transfer/ relocation of an employee is approved, HR will provide Relocation Letter, with defined terms, to the concerned employee.

3.2.4. It should be noted that employees should relocate only after they receive a letter of relocation from HR.

3.3. Relocation Support

3.3.1. Travel to New Location

a. In the event of the relocation of new employees or transfers initiated by UPES, reimbursement for journey fares from the existing location to the new location of joining would be provided to the concerned employee, her/his spouse and dependent children up to the age of 21 years. This reimbursement will be done as per the entitlement in Travel Policy of UPES, upon submission of original bills.

b. The above-mentioned travel arrangements would be made by the Administration department at UPES, in discussion with the employees concerned.

3.3.2. Transit Accommodation at New Location and Transportation of Household Goods

a. Transit Accommodation at the new location and reimbursement of transportation of household goods are provided in case of relocation of new employees and University-initiated transfers.

b. All such employees would be provided (or reimbursed on actuals, against bills) for transit accommodation and meals (i.e. Breakfast, Lunch, and Dinner), for the self, spouse and 2 dependent children up to the age of 21 years, for a maximum period of 6 night & 7 days, as per the entitlements in Travel Policy.

c. All such relocating employees, across from bands, will be entitled to reimbursement of expenses incurred towards transportation of household goods against original bills in both cases, maximum up to 1 month's basic salary.

d. Employees may submit the bills in original for reimbursement within 3 months of relocation. UPES shall reimburse the amount within 1 month of the bills being submitted.

e. Additionally, existing employees may seek salary advance, in case of university-initiated transfer, as per the existing policy.

f. In case of UPES initiated transfer or a new joinee from another location, relocating to Dehradun, a cab will be provided to the relocating employee for the first 5 days of her/his joining, to facilitate her/his transition to the new location.

g. Expenses for any additional requests will be borne by the employee concerned.

3.3.4. Recovery of Relocation:

In case the New Joinee /transferred employee, resigns from the services of UPES within one year from the date of joining/transfer, the amount paid against the relocation would be recovered in full, from his/her Full and Final settlement.

3.3.5. Relocation Leave

a. Relocation leave of 7 days (including weekends), may be availed by employees who relocate to join at UPES.

EMPLOYEE **REFERRAL**



- UPES encourages its employees to refer their friends and acquaintances who fit the specifications given in the job descriptions for the vacant positions.
- Participation in the Employee Referral Scheme is open to all full-time employees excluding members of HR and employees in band G4 and above.
- All applications should be submitted to HR.
- Referrals cannot include candidates who have already attended an interview with the University in the past six months.
- There is no bar on the number of candidates referred.
- The referral payout process will happen after one month from the date of joining of the referred candidate.
- If any resume referred is already a part of HR database, it will not be considered as a part of this scheme.
- Below given are the rewards associated with the Employee Referral.

Employee Referral Scheme

Designation	INR
Professor and equivalent non-faculty positions	₹ 15,000
Associate Professor and equivalent non-faculty positions	₹ 12,000
Assistant Professor and equivalent non-faculty positions	₹ 10,000

Furthermore, we aim to provide special incentives for the following referrals:

If the candidate is from	INR
Among the Clarivate's Highly Cited Researcher's list	₹ 60,000
Among the top 2% Researchers in the respective fields published by "Standford University List" or Has Studied / worked at the World's Top 10 QS/THE/Shanghai Rankings Institutes (Overall or Subject Ranking)	₹ 40,000
Has Studied / worked at World's Top 100 QS/THE/Shanghai Rankings Institutes (Overall or Subject Ranking)	₹ 25,000

Terms & conditions

1. Eligibility:

- The referral program is open to all active employees of UPES.
- The referrer should not be a part of the interview panel, or any decision-making process related to selection and hiring of referred.

2. Referral Process:

- Employees must submit referrals through email to HR.
- The referred candidate must mention the referring employee's name in their application.

3. Bonus Payout Conditions:

- The referral bonus will be paid only if the referred candidate:
  - Successfully completes 1 month
  - Is hired for a full-time position
  - Has not applied to the company in the last 6 months before the referral

4. Multiple Referrals:

- If multiple employees refer to the same candidate, the bonus will be awarded to the first referrer based on the submission timestamp.

5. Disqualifications:

- Referrals of former employees (rehiring cases) do not qualify.
- False or misleading referrals will result in disqualification from the program.

6. Policy Governance

- The **HR Department** is responsible for ensuring compliance with the employee referral policy. All decisions made under this program are final and binding. For further clarification, employees may contact their **HR Business Partner (HRBP).**

EMPLOYEE DEVELOPMENT POLICY



1. Objective

1.1. UPES strives to achieve and maintain high levels of impact on its students, and on the wider Industry, and recognizes that it is necessary to support the efforts of its employees by investing in their knowledge and capabilities.

1.2 This policy is intended to facilitate and support employees to expand their knowledge/ skills and prepare themselves for their current and future roles, and to ensure a high standard of delivery, that is aligned to the vision and strategic objectives of UPES.

1.3 The policy provides a framework and guidelines for learning and development initiatives at UPES.

2. Applicability

2.1 This policy is applicable to the full-time employees, including those appointed on a contract basis.

3. Guidelines

3.1. Equal Opportunity for Development

3.1.1. UPES is committed to ensuring equality of opportunity, in terms of both access to training and the development of individual potential. Decisions about learning and development will be made without any discrimination towards race, gender, disability, age, marital status, sexual orientation and religion of employees.

3.1.2. Every decision related to learning and development shall be taken based on the overall growth objectives of UPES, development needs of the employees, the envisaged impact of such training on UPES and its employees and the available budget.

3.3. Training Budget

3.3.1. The budget for trainings at school / functional level shall be estimated by the respective School and Functional Heads. This will then be submitted to the approving authority.

3.3.2. The approving authority for training budget for the financial year will include the Vice-Chancellor and Head - HR.

3.3.3. Once the budget is approved, notional allocation of budget will be done to schools and functions.

3.3.4. Approvals shall be required by the respective School/ Department and Head - HR for the utilization of this budget.

3.4. Identification of Training Needs

3.4.1. Training needs will be identified by HR department / Reporting manager, based on the strategic priorities of UPES as well as the developmental requirements of its employees

a. University's needs shall be based on the strategic growth objectives & priorities and on changes & developments taking place in the environment in which it operates.

b. Individual needs for each employee shall be identified during the Performance Appraisal Process, based on gaps in current performance levels and / or the need for the position / position holder to assume greater responsibility, owing to a promotion or job enrichment.

3.4.2. Training needs should cover both technical and behavioural aspects, to ensure a comprehensive and holistic view towards employee development.

3.5. Training Calendar

3.5.1. Training Calendar will be prepared by Head - HR in consultation with the Vice-Chancellor and Functional Heads.

3.5.2. Final sign-off on Training Calendar will be given by Vice-Chancellor.

3.6. Training Nomination

3.6.1. Employees will be nominated for training programs by the respective Deans / Functional Heads, on recommendation of their Reporting Manager, keeping in view the individual training needs of the employees and approved training calendar and budget.

3.6.2. Self-nomination shall also be encouraged to inculcate a sense of ownership amongst employees for self-development and growth.

3.7. Types of Trainings

3.7.1. Mandatory Trainings

a. Some elements of learning and development activities at UPES are mandatory for all employees.

b. Mandatory trainings include Induction, Training on Prevention of Sexual Harassment at Workplace and Code of Conduct.

c. Besides these, UPES may introduce additional mandatory trainings from time to time for all (or a certain group of) employees, based on the University's needs.

3.7.2. Nomination based Trainings

a. Developmental trainings are specific to individual employees / group of employees, based on their current performance levels and requirement of current or envisaged roles.

b. Developmental trainings include functional or technical trainings and behavioral or soft skills trainings.

c. UPES will provide developmental trainings to its employees from time to time, based on their individual training needs and University priorities.

d. Such training shall require either self-nomination or nomination by Reporting Manager/School or Functional Heads.

3.8. Training Methods

3.8.1. Training methods include:

a. Classroom training

b. External training program

c. Conferences and seminars

d. On-the-job training

e. E-learning

LONG
SERVICE AWARDS



1. Objective

1.1 This award aims at recognizing and rewarding the individuals and teams who go that extra mile to raise the bar of performance levels while demonstrating constructive behaviors and actions, in alignment with the vision and values of UPES (Passion, Inclusivity, Respect, Integrity, Trust and Accountability).

2. Applicability

2.1. This award is applicable to all full-time employees.

3. Purpose

3.1.1 To recognize those employees who have dedicated themselves to the service of UPES and to appreciate their loyalty & contribution towards the Organization.

3.1.2. Eligibility:

All full-time employees will be eligible for a Long Service Award on completion of 5, 10, 15 and 20 years of continuous service with UPES.

3.1.3. Reward:

Employees will receive an experiential reward along with a certificate of appreciation as a heartfelt recognition of their loyalty and dedication. These experiential rewards are thoughtfully curated to create cherished memories and provide meaningful

experiences—whether it's an immersive retreat, a cultural or wellness getaway, or another unique adventure—tailored to inspire, rejuvenate, and celebrate the employee's journey with UPES.

BUSINESS TOOLS POLICY



1. Objective

1.1. To lay down guidelines and entitlements for the usage of University tools such as laptop, data card, etc.

1.2. To facilitate effective use and access of such tools to employees at UPES in their day-to-day activities.

2. Applicability

2.1. The applicability of this policy is defined in each sub-section.

3. Guidelines

3.1.1. Issuance of Laptop : Basis the need of the job profile and Grade of the employee, IT will issue the Laptop to the employees. The below mentioned table depicts the grades and type of Laptop.

3.1.2. All employees shall be provided with laptops at the time of joining UPES, basis the expected work profile and eligibility criteria.

3.1.3. Employees are expected to use the laptops provided by University for official purposes only.

3.1.4. Laptops will be configured as per the standard suite of software pre-decided by the IT department. Other applications would be provided based on the employee's

professional needs or the requirements of the role with appropriate approvals from respective School/Functional Head and IT department.

3.1.5. UPES reserves the right to monitor the usage of laptop as these laptops are provided solely for official use.

3.1.6. It is the responsibility of the employees to maintain safe custody and handling of the laptop, during the period it is issued to her/his.

Grades	Designation	Laptop Specification
G5	President, Vice Chancellor	Mac Book / Type C, as per the requirement
G4	Pro Vice Chancellor, Registrar, Dean, Provost, Finance Officer, Sr. Director.	Type C
G3	Vice Provost, Cluster Head/Associate Dean, Vice-Dean Assistant Dean, Professor Emeritus, Distinguished Professor, Sr. Professor, Professor, Professor of Practice, Design Fellow Equi. Professor, Sr. Associate Professor, Associate Professor, Assistant Professor - Selection Grade, Controller of Examination, Director, Deputy Director, Joint Registrar, Deputy Registrar, Chief Proctor, Chief Librarian, Chief Medical Officer, Assistant Director, Adjunct Faculty, Adjunct Professor	Type B
G2	Assistant Professor - Senior Scale, Assistant Professor, Senior Manager, Manager, Assistant Registrar, Assistant Manager, Section Officer, Research Scientist, Associate Librarian, Nursing Assistant, Assistant Registrar, Sr. Lab Superintendent, Chief Security Officer, Sr. Associate Librarian, Resident Doctor, Medical Officer, Librarian, Security Officer, Psychologist (Counsellor), Trainer	Type A

EMPLOYEE
SEPARATION POLICY



1. Objective

1.1. The objective of this policy is to lay down the guidelines to be followed at the time of separation of employees from UPES due to any of the below mentioned reasons:

1.1.1. Resignation

1.1.2. Retirement

1.1.3. End of Contract (for contract/fixed term employees)

1.1.4. Termination of services

1.1.5. Retrenchment / Redundancy

1.1.6. Unforeseen event

2. Applicability

2.1. This policy is applicable to all full-time and part-time employees, including those appointed on contract basis.

3. Guidelines

3.1. Resignation

3.1.1. Resignation is defined as a permanent separation from employment that is initiated by the employee.

3.1.2. An employee should not leave or discontinue her/his service with UPES without giving a prior notice in writing of her/his intention to leave or discontinue the service.

3.1.3. Any employee leaving UPES should submit the resignation in writing (via email/letter) to the Reporting Manager

3.1.4. The Reporting Manager shall share the resignation in writing (via email/letter) with the School/Functional Head and HR.

3.1.5. HR along with the Reporting Manager/Head of Department of the employee should interact with the resignee to understand the reason. Post this discussion, with mutual consent if,

a. The resignee wishing to withdraw her/his resignation must obtain approval from the reporting manager & functional head/Dean & Vice-Chancellor

b. The resignee chooses to continue with the decision to resign, acknowledgement of the resignation letter in the form of Resignation Acceptance letter will be issued to the employee and maintained by HR.

3.1.6. Notice Period *

Types of Employees	Duration of Notice
All faculty members	3 months; end of the semester should be the deciding criteria for finalization of last working date from date of resignation
Employees in G3 and above	3 months; end of the semester should be the deciding criteria for finalization of last working date from date of resignation
Non-faculty	1 month upto G2
Employees on Contract	1 month

- In case of notice period waived off any shortfall in the overall notice period will be first adjusted from the permissible privilege leave as per the leave policy
- Requests for waiver of notice period shortfall shall be subject to prior approval by the designated authorities

3.1.7. Last Working Day

a. The last working date will be mutually decided between the Reporting Manager, HR and the Employee and it will be approved by the School/Functional Head.

b. If the last day of the notice period falls on a holiday or weekly-off, the employee shall be relieved on the working day prior to the holiday/ weekly off.

3.1.8. Leaves during Notice Period :

a. The employee is not allowed to take any leave during the Notice Period.

b. In exceptional cases (medical or other exigency), the employee may be allowed to avail PL or CL, with prior approval from Reporting Manager. In that case the last working date will be extended by number of leaves availed based on the discretion of the Reporting Manager and School/Functional Head.

c. Leaves (PL/CL) will be accumulated till the last working day of the Employee.

3.2. Retirement

3.2.1. Retirement Age

a. Faculty members shall retire from UPES on completion 65 years. However, they may be reappointed on contract basis till they attain the age of 70 years.

b. Non- Faculty members, shall retire from UPES on completion of 60 years of age. However, an extension on contract basis up to 2 years may be provided at the discretion of the University.

3.2.2. Date of Retirement

a. The date of retirement shall be either June 30th or December 31st, whichever falls after the date on which the employee attains the age of

- 65 years in the case of faculty
- 60 years in the case of non-faculty member.

3.3. End of Contract

3.3.1. A contract if not extended will end on the date mentioned in the contract.

3.3.2. The process for Performance Appraisal and Contract Renewal shall begin 1 month before the end of contract.

3.3.3. The appraiser of the employee shall provide performance feedback and recommendation to renew or end the contract.

3.3.4. The School/Functional Head shall approve the extension/termination of contract based on the recommendation of the appraiser.

3.3.5. HR will issue a Contract Renewal / Contract Completion letter to the employee based on the approval of the School/Functional Head.

3.4. Termination of Services

3.4.1. Subject to the provisions of rules and regulations, UPES may terminate the services of any employee, if it is felt that that her/his continuance in the service is not in the interest of UPES.

3.4.2. The power to terminate the services of any employee shall be exercised only by the Vice-Chancellor.

3.4.3. The option to dismiss the services of an Employee shall generally be exercised under the following circumstances:

a. Violation of Code of Conduct/Policy on Prevention Sexual Harassment

- In case of Violation of Code of Conduct or Policy on Prevention of Sexual Harassment, an enquiry shall be initiated by UPES as per the provisions of Code of Conduct Policy/ POSH and principles of natural justice. UPES will provide reasonable opportunity to the concerned employee to present her/his case in respect of the allegations set out against her/his.
- In case of proven misconduct, UPES shall have the right to terminate the services of the employee by giving prior notice.
- Any notice of resignation given by such an employee shall not take effect unless it is accepted by the Vice-Chancellor and hence the employee will not be officially relieved from the services of the University.

b. Unsatisfactory Performance

- Termination of service for reasons of performance, which is consistently unsatisfactory or below expectations, may be resorted to by the University.
- The termination can be initiated in the following cases:
    - Unsatisfactory performance post extension of probation would lead to discontinuation of services
    - Unsatisfactory performance in the Evaluation of Performance Improvement Program (PIP) post appraisal may result in termination of services
- In case of termination on account of unsatisfactory performance, UPES will provide notice or payment in lieu of notice to the concerned employee, in accordance with the terms of employment.

c. Retrenchment or Redundancy

- UPES may retrench an Employee for reasons not relating to the Employee's performance or behavior.
- This may happen in case of restructuring or phase out of departments/functions for strategic reasons, at the discretion of the University.
- In such cases, UPES will provide notice or payment in lieu of notice to the concerned employee, in accordance with the terms of employment.

3.5. Unforeseen event

3.5.1. In the unfortunate event of death while in service, HR shall render the following assistance:

a. The Head HR in consultation with the School/ Functional Head and approval from Vice-Chancellor will provide the necessary support to the employee's family in terms of any help that may be needed by the family to deal with the emergency.

b. Advance amount, if required, to the next of kin to take care of immediate expenses.

c. Full and final settlement of dues to be done within 15 days, from which the advance will be adjusted to process expeditiously the Provident Fund / Gratuity / Medical-claim Cover Settlements and other statutory benefits granted to the deceased employee as accrued during her/his employment with UPES

3.6. Handover & Clearance of Dues:

3.6.1. It is expected that the separating employee shall complete his/ her work and commitments before the relieving date.

3.6.2. The employee must settle all amounts due to UPES prior to her/his separation.

3.6.3. The Employee should also, prior to final settlement, hand over any returnable or leased property of UPES which includes:

a. Laptops, desktops, printer, data cards, etc.

b. Stationary, cabinet keys, ID cards, books issued from Library, etc.

c. Various files / documents (to the Reporting Manager)

3.6.4. The Employee must complete the Exit Clearance Form and submit it to HR.

3.6.5. The Relieving Letter, Experience Certificate will be issued within 10 working days from the date of relieving and only if the employee settles all dues prior to her/his exit from UPES

3.7. Full & Final Settlement

3.7.1. Last month's salary of the outgoing Employee will be paid along with the Full and Final Settlement of all dues within 30 days after her/his exit. However, if the employee is required to work for less than 15 days in the latest 2 months of service with UPES, then the last 2 month's salary shall be paid along with the full and final settlement.

3.7.2. Upon separation an employee is entitled to the following salary & benefits. The salary & benefits will be calculated on pro rata basis up to the date of separation:

a. Monthly remuneration till the last working day;

b. Unclaimed salary reimbursements;

c. Unclaimed expenses (if applicable);

d. Encashment of Privilege Leaves (if applicable);

e. Performance incentive for the preceding performance cycle, as per the terms of employment which will be payable only if the employee is on the rolls of UPES on the date when incentives are paid/disbursed;

f. Gratuity on completion of 5 years of continuous and regular service

3.7.3. The net amount of dues will be paid to the employee after adjusting deductions and recoveries as applicable.

3.7.4. In addition to this, UPES will provide assistance for settlement or transfer of Provident Fund.

3.8. Exit Interview

3.8.1. Each Employee separating from UPES will go through an exit interview

3.8.2. It is HR's responsibility to initiate and complete the exit interview process for the Employee.

3.8.3. The outgoing employee must fill the exit interview form and handover the same to HR.

3.8.4. HR would use the inputs to understand the employee's experience at UPES and reasons for her/his resignation, and to develop action plans for improvement.

3.9. Contact Information for Future Correspondence

Separating employees are required to provide their contact details and addresses for future correspondence.

CHILD EDUCATION
SCHOLARSHIP POLICY



1. Objective

1.1. To support the educational aspirations of our employees and strengthen their association with the institution. To encourage access to quality higher education, the organization offers scholarships to eligible wards of employees seeking admission to academic programs offered by UPES (including UPES ONLINE, Pearl Academy, or any other institution covered

1.2 This policy shall apply to admissions commencing from the Academic Year 2026–27 onwards and to NRI/ foreign students as well.

2. Eligibility Criteria & Conditions

I. EMPLOYEE WARD SCHOLARSHIP

1. The scholarship will be provided to the ward of employees after meeting the eligibility criteria of the program and will have to go through the selection process as defined by the University.
2. Submission of Aadhaar Card of both Parent and Ward clearly stating the relationship between Parent & Ward.
3. All regular employees of UPES and on the Allied Services payroll (Including employees on the payroll of GGS, HERS/M-Power/any other group of companies) will be eligible to get the scholarship for maximum 2 children.

II EMPLOYEE'S SIBLING WARD SCHOLARSHIP

1. The scholarship will be provided to the ward of siblings of employees after meeting the eligibility criteria of the program and will have to go through the selection process as defined by the University.
2. Submission of application of employee and sibling wherein Father/mother name is mentioned establishing the relationship between the Parent & employee.
3. All regular employees of UPES and on the Allied Services payroll (Including employees on the payroll of GGS, HERS/M- Power/any other group of companies) will be eligible to get the scholarship for maximum 2 children.

III. EMPLOYEE (for UPES ONLINE) & EMPLOYEES'S SPOUSE SCHOLARSHIP

1. The scholarship will be provided to the spouse of employees after meeting the eligibility criteria of the program and will have to go through the selection process as defined by the University.
2. All regular employees of UPES and on the Allied Services payroll (Including employees on the payroll of GGS, HERS /M- Power/any other group of companies) will be eligible to get the scholarship.

3. Scholarship Structure

3.1 Employee Wards

Eligible wards admitted to approved programs shall receive scholarship equivalent to:

- **75% of Semester Fee** (Tuition Fee and Academic Service Fee) for employees of Grade G3 and above.
- **90% of Semester Fee** (Tuition Fee and Academic Service Fee) for employees of Grade G2 and below.

All other charges, including but not limited to registration fees, examination fees, hostel fees, transport charges, security deposits, insurance, and any other applicable charges, shall be borne by the employee.

3.2 Employee's Ward, Employee Sibling's Ward and Employee's Spouse shall receive the scholarship as per the employee's employment grade in their Semester Fee (Tuition Fee and Academic Service Fee only) with UPES.

4. Points to Note

1. Scholarship under this policy shall not guarantee admission.
2. Eligible candidates must independently satisfy all admission criteria prescribed by the University.

3. Candidates must successfully complete the applicable admission and selection process.
4. Scholarship approval shall be subject to verification of eligibility by the Human Resources and Admissions departments.

5. Continuation of Scholarship

The scholarship shall continue in subsequent semesters subject to the following conditions:

1. The student maintains the academic and progression requirements prescribed by the institution.
2. The student is not involved in any disciplinary, misconduct, or integrity-related matter.
3. The student complies with all applicable rules, regulations, policies, and codes of conduct of the Institution.
4. The employee continues to remain in active employment with the Organization.
5. The institution reserves the right to withdraw or suspend the scholarship in case of non-compliance with any of the above conditions.

6. Separation from Employment

1. The scholarship benefit shall remain valid only during the period of active employment of the employee.
2. In the event of resignation, retirement, abandonment of service, or termination of employment, the scholarship shall cease from the subsequent academic semester.
3. The student shall thereafter be required to pay the applicable fee as per the prevailing fee structure of the institution.
4. No retrospective recovery shall be made for scholarship already availed during the period of active employment, unless obtained through misrepresentation or fraud.

7. Special Provision for Employees of Grade G2 and below

Employees of Grade G2 and below, who availed the 90% concession shall continue to receive the concession throughout the approved duration of the program, subject to fulfillment of the continuation conditions specified in this policy. On successful completion of program, the 10% amount deposited with the Institution shall be refunded to the employee.

3. Candidates must successfully complete the applicable admission and selection process.

4. Scholarship approval shall be subject to verification of eligibility by the Human Resources and Admissions departments.

8. Documentation and Undertaking

1. Employees seeking benefits under this policy shall submit the prescribed application form along with supporting documents establishing relationship and eligibility as mentioned above in the respective category

2. The employee shall execute an undertaking confirming: Accuracy of information provided;

- Compliance with policy provisions;
- Acceptance of obligations arising upon cessation of employment;
- Adherence to institutional rules and regulations.

3. Any misrepresentation, incorrect information submission, including dependency declaration, dual benefits will be dealt with appropriately, as per Code of Conduct Policy.

9. Governance and Audit Control

- HR validation
- Admissions verification
- Registrar sign-off
- Finance approval
- Central scholarship tracker

10. Interpretation and Amendments

1. This policy shall not apply retrospectively to students admitted prior to its effective date. Notwithstanding anything under this Scholarship Policy, UPES's Management has sole discretion to edit, modify, change, update, continue or abandon the above-mentioned Scholarship going forward at any given point of time, without any prior written intimation.

2. The Vice Chancellor will be the final deciding authority for all scholarship decisions.

In case of any dispute regarding interpretation of the policy, the decision of the organization shall be final and binding.

PREVENTION OF SEXUAL HARASSMENT AT WORKPLACE POLICY



1. Objective

1.1. UPES is committed to provide a healthy, safe and work conducive environment that enables employees and students to work/ study without fear of prejudice, gender bias and any form of Sexual Harassment. Our endeavor is to ensure that every employee and student is treated with dignity and respect and is provided with equal opportunities to professional growth. as per the guidelines of the sexual harassment of women at workplace (prevention, prohibition and redressal act, 2013)

1.2. UPES aims to adopt zero tolerance attitudes against any kind of sexual harassment or discrimination caused by any employee during the tenure at UPES towards any other person being an employee, student, contract, client, vendor, contractor, third party, trainee, and apprentice in office premises or elsewhere in India or Abroad.

1.3. In compliance with the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013 (hereinafter referred to as "The Act"), Policy on Prevention of Sexual Harassment at Workplace has been formulated to prohibit and prevent any act of sexual harassment at workplace and to provide a mechanism for effective redressal of concerns pertaining to sexual harassment.

2. Applicability

2.1. The policy is applicable to all the employees of UPES, irrespective of their gender. Definition of "employees" includes all persons hired by UPES on full-time, part-time, contract, retainership, visiting, training and apprenticeship basis, either directly or

through an agent, whether for remuneration or not, working on a voluntary basis or otherwise, whether the terms of employment are express or implied, and includes students, faculty, staff, employees of service providers/ contractors/ any other third party and business associate at UPES's workplace, as defined under this policy.

2.2. In case of a Sexual Harassment that may be reported to UPES or which UPES may come to know on its own course, which involves a contractor or contractor's employee(s), UPES shall be empowered to take action against the contractor or contractor's employee(s), including but not limited to severance of the relationship between the contractor and UPES, as may deem to be fit and proper by UPES.

3. Definitions

3.1. Sexual Harassment

3.1.1. Sexual harassment is defined as any one or more of the following unwelcome acts, gestures or behavior (whether directly or by implication), namely –

i. Physical contact and advances, including but not limited to, touching, brushing against the body, leering, staring, stalking

ii. Demand or request for sexual favors

iii. Making sexually colored remarks whether oral or written; including but not limited to, comments about an individual's body or appearance or attire which are beyond mere courtesy, sexual epithets, indecent jokes, sexually suggestive or insulting comments, innuendos, whistling

iv. Showing or sharing pornography or any other objectionable/ offensive material in any form, such as emails, letters, messages, videos, photographs, etc.

v. Any other unwelcome physical, verbal or non-verbal conduct or gestures of sexual nature

3.1.2. Further, the occurrence or presence of following circumstances, among other circumstances, in relation to any sexually determined act or behavior may amount to Sexual Harassment -

i. Implied or explicit promise of preferential treatment in the employment; or

ii. Implied or explicit threat of detrimental treatment in the employment: or

iii. Implied or explicit threat about the present or future employment status; or

iv. Interference with the employee's work, or creating an intimidating or offensive or hostile work environment; or

v. Humiliating treatment likely to affect the employee's health or safety

3.1.3. Employees at UPES must not engage in conduct amounting to sexual harassment and / or altering an Employee's terms or conditions of employment based on his/ her refusal to submit to such conduct. The organization strictly prohibits its employees

from implying or suggesting that an applicant or another employee's submission to sexual advances or participation in such sexual conduct is a condition of continued employment or receipt of any job benefit (including job assignment, compensation advancement, career development, or any other term or condition of employment).

3.1.4. Sexual Harassment does not include occasional compliments or voluntary relationships between individual employees.

3.2. Workplace is defined as offices and campuses of UPES and any other site where UPES provides professional services related to education and training. This also includes sites visited by employees while on assignment/ duty and the transportation provided by UPES for the said purpose.

3.3. Aggrieved is the employee, student, business associate or any other person connected to the work and / or functioning of UPES, who alleges to have been subjected to any act of sexual harassment in relation to the workplace (as defined under this policy).

3.4. Respondent is the person against whom a complaint has been made under this policy.

4. Guidelines

4.1. Internal Complaints Committee (IC)

4.1.1. In compliance with the Act, IC has been constituted at every campus/ location of UPES to ensure compliance to and execution of this policy and to undertake time-bound redressal of complaints received under this policy.

4.1.2. Each complaint of sexual harassment shall be dealt with utmost confidentiality and urgency by the Internal Committee at each location.

4.1.3. IC comprises of the following:

i. IC is chaired by a woman employee who is at senior management position. In case, a woman employee at this level is not available at a campus/ location, the senior woman working in any other campus/ location of UPES is appointed as chairperson of the IC.

ii. Apart from the chairperson, the IC comprises of 1 member from amongst the employees having adequate experience of social work or having knowledge of law.

iii. There should also be a representation from NGOs or other social organization, committed to the cause of women or operating in the area of Sexual Harassment.

iv. In total, the IC comprises of at least 4 members (including chairperson) and at least 50 % of total members must be of the same gender as that of the aggrieved.

v. A quorum of 3 members is required for proceedings to take place.

4.1.4. The Chairperson and every Member of the IC shall hold office for such period, not exceeding three years, from the date of their nomination as may be specified by UPES.

4.1.5. The list of IC Members and their contact numbers shall be circulated to all employees and prominently displayed at identified locations at each campus.

4.2. Responsibilities of IC

4.2.1. Preventive Steps Regarding Sexual Harassment

i. The IC will be responsible for undertaking following preventive actions to ensure a safe, healthy and conducive work environment:

- Ensure that all employees, students, business associates or any other person connected to the work and/ or functioning of UPES are aware of the organization's Policy on Prevention of Sexual Harassment at Workplace, through circulation of the policy document and conducting workshops and / or discussions.
- Conducting gender sensitization/ awareness workshops and in -house trainings for employee groups (including new hires) and students to create awareness about sexual harassment, rights of the employees/ students and redressal mechanism.
- Creation of women groups within the organization to develop a supportive work environment. These groups will also facilitate early identification of potential concerns of sexual harassment.
- Implementing learning's from previous cases.
- Widely publicizing that Sexual Harassment is an offence under applicable law and UPES shall have zero tolerance regarding the same.
- Apart from this, the IC may undertake other measures from time to time to ensure a workplace free from harassment.

4.2.2. IC is also responsible for investigating every formal written complaint of sexual harassment made under this policy.

4.2.3. IC shall take appropriate remedial measures to respond to any substantiated allegations of sexual harassment.

4.3. Procedures for Resolution, Settlement or Prosecution of Acts of Sexual Harassment

4.3.1. UPES is committed to provide a supportive environment in which the concerns of Sexual Harassment shall be resolved as follows:

4.3.2. Filling of Complaint

i. Any employee, who is being sexually harassed, either explicitly or implicitly, may submit a written complaint preferably within 3 months from the date of incident

or, in case of a series of incidents, the date of last occurrence of incident. The complaint can be in form of a letter in a sealed envelope addressed to Chairperson of IC, along with proofs (photographs, emails, etc.) and names of the witnesses (if any Anonymous complaint can also be made to the Chairperson of IC in form of a sealed envelope. In case oral complaint is made, the IC member will assist the aggrieved in writing the complaint.

ii. If the aggrieved files a complaint after a period of three months, the IC may condone the delay provided it is satisfied as to the reasons for the delay in filing.

iii. If the aggrieved is unable to make a complaint on account of his/ her physical or mental incapacity or death or otherwise, her/ his legal heir,relative or friend, or person having knowledge of the incident may make such a complaint.

iv. Upon receiving any complaint, IC will register the complaint. The Chairperson will then determine whether the complaint falls under the purview of IC, within 7 working days from the date of receipt of complaint.

v. If the complaint doesn't fall under the purview of IC, the IC shall record this finding along with reasons. The same shall be communicated to the aggrieved/ complainant. Additionally, and to the extent possible and as required, the IC may support the aggrieved/ complainant in channelizing this complaint to relevant authority.

vi. In cases where the allegation falls under the purview of IC, the IC shall initiate appropriate action as outlined in the following section.

vii. In the event the complaint is against any member of the IC or any relative of any member of the IC, then such member shall cease to be a part of the IC and a new member may be nominated by the other members of the IC for dealing with that particular complaint.

4.3.3. Conciliation Proceeding

i. Before conducting an inquiry, the IC at the request of the aggrieved may take steps to settle the matter between the aggrieved and the respondent, through conciliation.

ii. No monetary settlement shall be made as a basis of conciliation.

iii. In case settlement has been arrived at, the IC shall record the settlement so arrived and forward the same to the management to take action as specified in the recommendation.

iv. The copies of the settlement shall be provided to the aggrieved and the respondent.

v. Where a settlement is arrived at, no further inquiry shall be conducted by the IC. However, in case the aggrieved informs that any term or condition of the settlement has not been complied with by the respondent, the IC shall proceed to make an inquiry into the complaint.

4.3.4. Procedure of Inquiry

i. A copy of the complaint as received by the IC shall be given to the respondent, within seven (7) working days of recording of the same. The respondent shall, within ten (10) working days of receipt of the complaint, be required to submit his/ her response to the complaint and to indicate whether the respondent wishes to examine any witnesses or furnish any evidence.

ii. Where the respondent is an employee of UPES, the IC shall proceed to make inquiry in accordance with the provisions of the service rules applicable to the respondent.

iii. Upon receipt of the responses from the respondent, the IC shall conduct a hearing where both the aggrieved and the respondent shall be heard in person on the date falling four (4) working days after the receipt of reply from the respondent. The IC shall notify the respondent and aggrieved (as well as the witnesses, if any) of the time and venue of the hearing.

iv. The IC shall follow principles of natural justice in all its proceedings. IC shall provide adequate opportunity to both the parties to be heard and present their case. However, either parties are prohibited from involving any other external agency (such as lawyers) to represent themselves.

v. The aggrieved and the respondent shall have the right to lead evidence and to cross-examine witnesses.

vi. At any stage during the course of enquiry either party may submit self-attested documents/ evidences to substantiate their case.

vii. If any party requires a witness to be called, the same is to be communicated to the IC in advance. The IC shall call upon the witnesses on behalf of either party for the next meeting.

viii. If either party fails to appear for proceedings at 3 instances, then the IC is authorized to continue with the proceedings after sending an advance notice to the concern party at least 14 days prior to the meeting/ proceeding.

ix. The IC and UPES shall maintain confidentiality of the identity of the aggrieved, the respondent and the witnesses.

x. In conducting the inquiry, a minimum of 3 members of the IC including the Chairperson of the IC shall be present.

xi. The IC shall investigate the complaint and complete the inquiry within ninety (90) days from the date on which the inquiry is commenced and provide its report expeditiously. Any reasons for delay in completion of the same within the mandated time frame must be recorded in writing.

xii. A written request may be made by the aggrieved on the basis of which the IC may recommend to UPES to transfer the aggrieved/ the respondent to any other

Workplace or grant leave of up to three months to the aggrieved or restrain the respondent from reporting on the work performance of the aggrieved or supervising any work-related activity of the aggrieved.

xiii. In the event the aggrieved approaches or the IC forwards the complaint to the police for any necessary action, UPES shall extend all possible assistance to the aggrieved and provide cooperation in any investigation by the relevant law enforcement agencies.

4.3.5. IC Report

i. IC shall prepare a written report of its findings on the complaint, including recommendations for imposition of penalty and the reasons for such recommendations to the Management.

ii. IC shall submit this report to the Management and the concerned parties, within two (2) working days of signing of the report by all members of the IC.

iii. In case the IC arrives at the conclusion that the allegation against the respondent has not been proved, it shall recommend to the Management that no action is required to be taken in the matter.

4.3.6. Manner of taking action against the Respondent

i. In case IC arrives at the conclusion that the allegation(s) against the respondent have been proved, it shall make the following recommendations to the Management: To take action for Sexual Harassment as a misconduct in accordance with the policies and rules applicable to the respondent;

- • Disciplinary action that shall be commensurate with the nature of the gravity of the offence, shall include but not limited to,
    - Written Warning
    - Bond of good behavior
    - Transfer
    - Counselling Session
    - Debarring from Supervisory duties
    - Reprimand or censure
    - Withholding of increment/pay rise
    - Withholding of promotion
    - Reduction in grade
    - »» Termination of service
- If the respondent is found guilty of a serious instance of sexual harassment at workplace, the IC can also recommend monetary compensation in favour of the aggrieved, by way of a deduction from the salary of the respondent such sum as

- it may consider appropriate to be paid to the aggrieved. For the purposes of determining the sums to be paid to the aggrieved, the IC shall keep in mind:
- Mental trauma, pain, suffering and emotional distress caused;
- Loss in the career opportunity due to the incident of sexual harassment;
- Medical expenses incurred by the aggrieved for physical or psychiatric treatment;
- Income and financial status of the offender;
- Feasibility of such payment in lump sum or in installments
- Provided however, that in addition to all these penalties, the respondent can also be required to give a written apology to the aggrieved and upon failure to do so, the punishment can be enhanced.

4.3.7. Implementation of recommendations

i. The Management shall, not later than sixty (60) working days from the receipt of the recommendations of the IC, implement the said recommendations.

ii. In case the Management is of the view that there is any clarification required in the report or recommendations of the IC, it shall send the report back to the IC for a review.

iii. The IC shall review the issues highlighted by the Management and provide suitable responses to the Management.

iv. Upon receipt of the clarifications from the IC, the Management of UPES shall be bound to accept the report with recommendations of the IC and take action, as advised by the IC.

4.4. Appeal

4.4.1. Any person aggrieved with the report of the IC may appeal to the Head HR within 90 days of date of receiving the final report from IC.

4.5. Confidentiality

4.5.1. The confidentiality of all proceedings along with the identity of the complainant and accused will be maintained throughout the inquiry process to the extent possible.

4.5.2. Additionally, employees involved in the inquiry process (complainant, accused, witnesses, members of IC or any other employee) are prohibited from discussing the details of the case outside of meetings/ proceedings, unless required as part of the inquiry process.

4.5.3. All the reports and documents will remain confidential with IC, except where disclosure is required per law.

4.5.4. Any person (including witnesses) who breaches confidentiality shall be subject to disciplinary action.

4.6. Protection to Aggrieved, Complainant and Witnesses

4.6.1. UPES is committed to ensuring that that the aggrieved, complainant and witnesses are not victimized or discriminated against during the course of the investigation and afterwards.

4.6.2. Reprisal, in any form, against the aggrieved, complainant and/or witnesses shall be subject to disciplinary action as per the policies of UPES

4.7. Punishment for false or malicious complaint and false evidence

4.7.1. If during the inquiry process it is found that the allegation against the respondent is malicious or the aggrieved or any other person making the complaint has made the complaint knowing it to be false or any person has produced forged or misleading document(s), strict disciplinary action shall be initiated against the said person(s), in accordance with the provisions of the rules and policies of UPES applicable to him/her. Disciplinary action that shall be commensurate with the nature of the gravity of the offence, shall include but not limited to,

- Written warning
- Bond of good behavior
- Transfer
- Counselling Session
- Debarring from Supervisory duties
- Reprimand or censure
- Withholding of increment/pay rise
- Withholding of promotion
- Reduction in grade
- Termination of service

4.9. Responsibilities of the Management

4.9.1. Management shall extend complete support to IC in ensuring effective and timely implementation of this policy across the organization. The management shall also support the IC in effective closure of all cases received, as prescribed in this policy or as per applicable laws.

Annexure

For the period starting from 01st October 2024 to 30th September 2027, the Internal Complaints Committee (ICC) as per University Grants Commission (Prevention, prohibition and redressal of Sexual Harassment of Women employees and students in higher educational institutions) Regulations, 2015 for the UPES Campuses would have the following members:

Composition	Members
Chairperson	Dr. Shikha Dimri, Professor, 9719967103, shikha@ddn.upes.ac.in
Members	Dr. Nilanjana Banerjee, Sr. Associate Professor,9638965656, nbanerjee@ddn.upes.ac.in Dr. Mitali Chugh, Sr. Associate Professor, 8755278080, mchugh@ddn.upes.ac.in Dr. Shikha Saxena, Associate Professor, 9650496816, shikha.saxena@ddn.upes.ac.in Dr Amrish Tony, Director, Sports, 8295386345, amrish.tony@ddn.upes.ac.in Mr. Jatin Rawal, Chief Legal Officer, Legal, 8373909808, jatin.rawal@upes.ac.in Mr Ravi S Kumar, Sr. Director, Human Resource, 9868539069, ravi.kumar@upes.ac.in Ms. Sonal Katewa, Chief Proctor, Proctor Office 8178219399, sonal.katewa@ddn.upes.ac.in Ms. Jyoti Grover, Quadrangle Consulting, Founder and Managing Partner, 9810071537, jyoti@quadrangleconsulting.org

Local Compliance office

Local compliance officer for UPES- Jatin Rawal
jatin.rawal@upes.ac.in

Note:

Three students, listed below, if the reported matter involves students, shall also be part of the committee. Nominations of students may be updated on yearly basis.

Under Graduation Level

Name: Rohit Yadav

Course: B.Tech.-CSE (AI-ML)

Year: 3rd Year

SAP ID: 590017038

Contact No: 6264512522

Email ID: rohit.17038@stu.upes.ac.in

Post-Graduation level

Name: Kritika Tiwari

Course: MBA

Year: 2nd Year

SAP ID: 590023342

Contact No: 9152963623

Email ID: kritika.23342@stu.upes.ac.in

PhD. Scholar Level

Name: Madhuri Surya

Course: PhD. Scholar Physics

SAP ID: 500130296

Contact No: 7217490029

Email ID: madhuri.130296@stu.upes.ac.in

The ICC will be responsible for:

- Implementation of the legal, statutory, and institutional requirements related to sexual harassment, thereby ensuring an environment free of any kind of gender-based discrimination.
- Disseminating the information amongst the university community and creating awareness on sexual harassment in its various forms.
- Creation of a secure physical and social environment on and off the university campuses as covered under the definition of workplace by the statutory requirements.
- Creating a mechanism for the prevention and redressal of sexual harassment cases and other acts of gender-based discrimination.