

Effective Jan 2019



UPES

UNIVERSITY WITH A PURPOSE

UPES PRINCIPLES OF ENGAGEMENT

Human Resources

UPES PRINCIPLES OF ENGAGEMENT

Date: 01.01.2019	APPROVED BY	
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I. Introduction

Welcome to UPES!

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!

II. 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.
- 1.2. Code of Conduct provides guidelines to the employees to enable them to understand their responsibilities and obligations and provide guidance on expected behavior at the workplace if faced 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 & regulation and promote ethical conduct in the University.
- 3.1.4. All employee shall be responsible for reporting any violations of the codes, they observe within the University, to the Local Compliance Officer. For this purpose, Director – HR has been designated as the Local Compliance Officer.

3.2 Responsibility of Functional Heads / School Heads

- 3.2.1. All School Heads/ 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 & 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 & 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 Respect for All

- a. 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).

3.3.4 Team Work

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

3.3.5 Open Door Culture

- a. 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.

3.3.6 Equal Opportunities Employer

- a. 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 any person because of his / her personal characteristics / traits.

3.3.7 Workplace Free of harassment

- a. A harassment free workplace is a right of all employees and UPES respects 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.

3.3.8 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.

3.3.9 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.

3.3.10 **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.

3.3.11 **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

3.3.12 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 & rules.

3.3.13 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 a 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.

3.3.14 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.

3.3.15 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.

3.3.16 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.

3.3.17 Compliance with laws, regulations, policies and procedures

- a. Each employee must:
- 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.

3.3.18 National Interest

- a. 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. 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 the 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 Unauthorized Transfer of University's Property

3.10.1. Unauthorized loan or transfer of identity card, equipment or property of UPES to another person is not permissible.

3.11 Acts of Omission and Commission Constituting Misconduct

3.11.1. 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.

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

- a. Willful insubordination or disobedience of any reasonable instruction(s) of a superior, whether alone or in combination with other.
- b. Striking work alone or in combination with other employees or inciting them to strike work.
- c. Sleeping on duty.
- d. Refusal to work on any job assigned by the University.
- e. Theft, fraud, forgery, misappropriation, embezzlement or dishonesty in connection with UPES or its property.
- f. Taking or giving bribes or any illegal gratification whatsoever.
- g. 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.
- h. Habitual late attendance and habitual absence without leave sanctioned or without sufficient cause.
- i. Carrying on money-lending with commercial intent or any other commercial activity within the premises of UPES.
- j. Drunkenness, fighting, riotous, disorderly or indecent behavior within the premises of UPES.
- k. Commission of any act leading to indiscipline or unacceptable behavior within the premises of UPES.
- l. Habitual negligence or neglect of work.
- m. Absence from place of work without the permission of the Reporting Manager.
- n. Causing damage to one's own work or to that of other employee or students.
- o. Causing damage to property of any employee, student or any other internal or external stakeholder at UPES.

- p. Theft of property belonging to other employees / students or any other internal or external stakeholder or to UPES.
- q. 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.
- r. Threatening, abusing, assaulting, intimidating or any improper behavior towards any student or employee or any other internal or external stakeholder of UPES.
- s. Gambling within the premises of the establishment.
- t. Unauthorized use or forcibly occupying of UPES's property.
- u. Lending to or borrowing money from employees with commercial intent.
- v. Engaging in trade within the premises of UPES.
- w. Spreading rumors/false information or panic which tends to disrepute UPES or its employees, students or any other internal or external stakeholder of UPES.
- x. Writing of anonymous or pseudonymous letters criticizing the employees of UPES.
- y. Refusal to accept charge sheet, suspension order, or any other lawful order given by a superior.
- z. Misbehavior during the pendency of disciplinary action instituted against him / her.
- aa. Giving of false personal information, qualifications or previous service etc.
- bb. Possession of any lethal weapon within the premises of UPES.
- cc. 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.
- dd. Misuse of loan or salary advance or non-compliance with the provisions of the loan/salary advance policy.
- ee. 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.
- ff. Frequent repetition of acts or omissions liable for fines.
- gg. Any act of omission which amounts in loss of the UPES's confidence.
- hh. 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.

- ii. Incivility to student(s) or employee(s) or any other internal or external stakeholder.
- jj. 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.
- kk. Absence from duty without notice, or without sufficient reason, for a period of 3 days or more.
- ll. Any form of substance abuse within the premises of the UPES
- mm. 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;

3.11.3. 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 may or may 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 concerned employee.
- 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 the 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 charge-sheeted employee for his / her comments thereon within a defined timeframe.
 - The Vice Chancellor 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 ex- parte without the presence of or the co-operation of the accused.
 - If the Vice Chancellor 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, 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 School Head / 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.

3.14 Acknowledgement of Code of Conduct

3.14.1 All employees shall acknowledge receipt of this policy or any modification thereto, in the Acknowledgement Form (Annexure 2) and submit it to HR

indicating that they have received, read, understood and agreed to comply with the policy.