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UPES

UNIVERSITY WITH A PURPOSE

UPES PRINCIPLES OF ENGAGEMENT

Human Resources

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I. 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 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. Employment of Relatives

- 3.2.1. 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 School Head/ 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 School Head/ 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.

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 Director - HR in consultation with the Vice-Chancellor and School Heads/ Functional Heads.

4.2.2. Manpower plan should clearly indicate (i) the positions, (ii) number of vacancies (iii) the type of employment and (iii) 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 (Annexure 3) in the prescribed format in consultation with HR for every position.

4.3.3. The School Head / 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 School Heads/ Functional Heads to the Vice-Chancellor and Director - 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
<ul style="list-style-type: none"> • Job Portals like Naukri, Monster • Social Networking sites like LinkedIn • Consultants • Advertisement in newspapers • Campus Hiring 	<ul style="list-style-type: none"> • Internal Mobility/Job Posting • In-house Data Bank • Employee referrals • UPES Website

- a. **Job Portals / Websites**
- b. 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
- c. **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.
- d. **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/ School Heads/ Functional Heads.

e. 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.

f. In House Data Bank

- All applications, as well as CVs received at any point in time will be stored in data bank at UPES 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.

4.2 Internal Mobility

- Based on the recruitment plan and the position, HR shall first make an attempt to utilize an internal resource to fill in the vacancy.
- An employee applying for an internal job posting should
 - a. have at least 24 months of continuous employment in the current role with UPES.
 - b. have a rating of 'E' or above during last 2 consecutive performance review cycles.
 - c. have the requisite qualifications, skill sets, behavioral competencies and track record of achievements
- The internal job postings (IJPs) will be shared with all employees in an email format.

- 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.
- 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).
- In case the employee is required to travel, TA/DA for attending interviews will be reimbursed to the candidate in accordance with the company's travel policy.
- In case selected, the internal mobility counsellor, the current manager and the new hiring manager along with the internal candidate will work on the transition plan including the plan for knowledge transfer, last date of work etc.
- Ideally, no current manager will be allowed to retain the employee beyond the notice period applicable to the moving employee. In case of conflict in release of the employee, the final decision will rest with the Vice-Chancellor and Director - HR. This is to ensure that both business continuity & personal aspirations are met, as part of this process.
- Employee has the option to decline the offer if her/his expectations are not met, after the offer has been made.
- 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.
- Relocation assistance will be paid in the event of change of place of work due to a successful IJP movement.
- The talent acquisition team in the meanwhile will work directly with the current manager on the positions that get vacant, as a result of the internal mobility.
- This policy may see certain variations depending on the need of the role, which shall be informed with the IJP mail.

g. 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 EM1 and above.
- All applications should be submitted to HR via email at referrals@upes.ac.in.
- The referrer should not be a part of interview panel or any decision-making process related to selection and hiring of referred.
- Referrals cannot include candidates who have already attended interview with the University in the past six months.
- There is no bar on number of candidates referred.
- The referral payout will happen in one month of the candidate joining.
- 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

Positions	Amounts
Professor & above & equivalent non - faculty positions	INR 10000/- per person
Associate Professor, Assistant professor (selection grade) & equivalent non - faculty positions	INR 7500/- per person
Assistant Professor (selection grade), Assistant professor, Lecturer, Adjunct associate & equivalent non - faculty positions	INR 5000/- per person

4.5. Selection Process

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

4.5.2. First level of screening

- 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.

4.5.3. Selection Tools

- a. Depending on the level of position and requirements of job, the selection process may comprise telephonic interview, panel / face-to-face interview, demo session on teaching, etc.
- b. Broad guidelines on selection tools that may be used for various levels are given below. The indicated selection tools should be used in combination to identify the best candidates.
 - Telephonic Interview - HR will conduct an initial call with all candidates whose CV matches the requirement to understand basic information like experience, educational background, interest in pursuing the position, willingness to travel or relocate, notice period, etc.
 - Panel Interview - All candidates for faculty positions will have panel interviews comprising of the panel members as shown in the table below:

*Candidates for the positions of Assistant Professor / Assistant Professor- Senior Scale / Assistant Professor - Selection Grade will have a Demo Session on a topic related to their field which may be in the form of a classroom environment.

Faculty / Non-Faculty	Level of the Position	Interview Round 1 Panel	Interview Round 2 Panel
Faculty	*Assistant Professor, Assistant Professor - Senior Scale, Assistant	Head of Department and Internal Subject Matter Expert	Demo session in a classroom setup – Head of Department, Dean / School Head. Followed by this the

Faculty / Non-Faculty	Level of the Position	Interview Round 1 Panel	Interview Round 2 Panel
	Professor - Selection Grade		recommendations for hiring will be made by the Dean/ School Head and HR to the Vice-Chancellor, who will then approve the hiring of the same.
	Associate Professor and above	Head of Department and External Subject Matter Expert	Dean / School Head, Vice-Chancellor & HR
Non - Faculty	Executive to Manager	Reporting Manger	Functional Head and HR
	Sr. Manager and above	Reporting Manager	Functional Head, Vice-Chancellor and HR

- c. **Psychometric Test** - Psychometric test should be conducted for all candidates for faculty positions and for employees in band EM1 and above before final selection.
- d. **Reference check** –
- Reference check is done to ensure that individuals who join are well qualified and have a strong potential to be productive assets to UPES.
 - HR will undertake reference checks of the selected candidates, prior to giving the letter of intent to the candidate, as per the below mentioned guidelines
 - a. At least 3 professional references should be included in the reference check process.
 - b. The list of references should include, as far as possible, the most recent employer or reporting manager, and any other persons of good repute, other than relatives / friends.

- c. Personal references of the candidate should be avoided, as they may not provide accurate information on a candidate's capability or background.
- d. The referees should have observed the candidate in the workplace.

- **Process of checking References**

- a. References should be collected in written (through e-mail) from the referee or by telephone.
 - b. Permission must be obtained from the candidate before approaching the references.
 - c. If negative information is obtained from a reference check, its accuracy should be verified from another source.
 - d. The reference checks should be documented in the Reference Check Form (Annexure 5).
- The letter of intent shall not be issued to the candidate if s/he fails to provide references or misrepresents his / her work history or other credentials.

4.5.4. **Background Verification Process**

- a. Background verification by an external agency shall be done for all selected candidates who have accepted the letter of intent, before the appointment letter is issued.
- b. A professional background verification agency would be appointed to check and verify the candidate's documents.
- c. The process will include the following documents to be verified:
 - Educational Qualification
 - Previous Employment (up to 2 employers)
 - Permanent Address
- d. If the candidate is found to falsifying any of his / her documents or claims, the job offer will be terminated immediately by giving a written notice.

4.5.5. **Pre – Employment Medical Checks**

- a. All employees will have to submit a medical report at the time of joining at UPES.
- b. All appointments shall be deemed to be provisional until certificate of fitness has been obtained from the employee.

4.6. Final Selection

- 4.6.1. After the interview, the panelists shall summarize their interview notes and give their recommendation on which candidate will be selected, supported with concrete reasons.
- 4.6.2. HR shall prepare the final shortlist of candidates, based on the recommendations of the interview panel and collect the interview evaluation sheets (Annexure 4) and selection minutes
- 4.6.3. The selection minutes and interview evaluation sheets are submitted by HR to the Vice-Chancellor for approval.
- 4.6.4. The salary for the final candidate should be decided and negotiated by HR.
- 4.6.5. Any offer, where the designation and level being offered is different from that indicated on the approved vacancy, shall require prior approval of the Vice-Chancellor.

4.7. Letter of Intent

- 4.7.1. The letter of intent shall be sent to the candidate through e-mail within one week of salary negotiation.
- 4.7.2. The letter of intent contains the details of the position, school / department, location, reporting relationship, salary details, role and responsibilities, etc.
- 4.7.3. The letter of intent must be made in writing (Annexure 6) and signed by the authorized signatory of HR.
- 4.7.4. The candidate must convey acceptance of the offer within 7 days of receipt of the letter along with a signed copy of the letter of intent stating the confirmed date of joining.
- 4.7.5. If the candidate fails to comply with the provisions of the letter of intent or date of joining or for any other reason, the offer may be withdrawn.
- 4.7.6. In such cases, the next candidate in the final shortlist can be offered the position or a fresh recruitment may be undertaken.

