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UPES

UNIVERSITY WITH A PURPOSE

UPES PRINCIPLES OF ENGAGEMENT

Human Resources

Table of Contents

I. Probation and Confirmation Policy.....	2
1. Objective.....	2
2. Applicability	2
3. Guidelines.....	2

I. Probation and Confirmation Policy

1. Objective

1.1. The purpose of this policy is to lay down the guidelines pertaining to 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 EM1 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

3.2.1. All employees are confirmed only on successful completion of probation, which is ascertained through on-going monitoring, periodic performance reviews and confirmation process.

- 3.2.2. UPES follows a **two-fold review process** for confirmation of employees, which is detailed below:
- a. An **Interim Performance Review** (form attached in Annexure 8) will be conducted by the Reporting Manager, along with a feedback discussion, post completion of 90 days.
 - b. Additionally, as part of the confirmation process, **Probation Assessment** shall be undertaken by the Reporting Manager and the Approving Authority.
 - Probation Assessment will be conducted twice over the Probation period for faculty member, once at 6 months' milestone, and then on completion of 1 year.
 - For non-faculty members, Probation Assessment will be conducted towards the end of the probation period, i.e. on completion of 6 months.
- 3.2.3. The above review process may be clubbed with Mid Term Review / Final Appraisal process, as applicable.
- 3.2.4. Approval on Confirmation of employee is provided as per the following approval matrix, based on performance of the employee during the probation period:

Grade of Employee	Approving Authority
Faculty members	School Head
Non-faculty members	Functional head
Employees in band EM1	Vice-Chancellor

- 3.2.5. Probation Assessment process should be initiated one month prior to the 6 months and 1-year milestones (as applicable); this would provide sufficient time to all stakeholders involved to complete the performance review and discussion, while also ensuring timely completion of the process.
- 3.2.6. Each performance review / assessment should be documented by the employee, Reporting Manager, using the Performance Review Form (Annexure 8).
- 3.2.7. It is the responsibility of the Reporting Manager / School Head/ Functional Head to ensure timely submission of the filled form, along with their decision, to HR for further processing.
- 3.2.8. Based on the assessment and decision of the Approving Authority, HR will issue a Probation Confirmation Letter (Annexure 9) or Probation Extension Letter (Annexure 10) to the employee, post sign-off from the Approving Authority.
- 3.2.9. The Probation Confirmation Letter / Probation Extension Letter should be issued to the employee within 15 days of completion of the stipulated Probation Period (i.e. 6 months or 1-year milestones, as applicable).

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 (Annexure – 20)
- 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 the second 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.