

*Effective Jan 2019*



**UNIVERSITY WITH A PURPOSE**

# **UPES PRINCIPLES OF ENGAGEMENT**

*Human Resources*

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## **I. Promotion Policy**

### **1. Objective**

- 1.1. UPES is committed to foster an open and transparent environment in which personal growth is linked to merit and potential of its employees.
- 1.2. This policy aims to:
  - 1.2.1 Set out the eligibility and evaluation criteria for promotion.
  - 1.2.2 Define the process that eligible employee will go through for promotion
  - 1.2.3 Define the timelines for promotions.

### **2. Applicability**

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

### **3. Guidelines**

- 1.1. UPES will promote an employee based on the performance, availability of position in the higher level and other criteria as recommended in the policy.
- 1.2. The promotion policy will be implemented in line with the approved manpower plan of the year.
- 1.3. Promotion recommendations will be typically made during the annual performance appraisal at the end of a performance cycle i.e. January to December
- 1.4. In case of vacancy or new role arising during the year, a movement/ promotion may be made at the discretion of UPES.
- 1.5. The final decision on promotion shall be taken by the respective Promotion Committee.
- 1.6. In addition to the guidelines of this policy, Promotion Committee shall have the right to identify and nominate an employee at any level for promotion.
- 1.7. The recommendations for promotions to the promotion committee will be made as per the process below:

Faculty / Non-Faculty	Promotion level	Round 1	Round 2	Round 3
Faculty	AP to AP SS	HOD and Internal SME	Presentation made to Deans for all the eligible cases by HODs along with rationale for their decision for promotion/ no promotion.	Final presentation made by the Deans to the Promotion Committee for final approvals, with rationale for promotion/ no promotion
	AP SS to AP SG			
	AP SG to Associate Professor	HOD, Deans and External SME	Presentation made to the Promotion Committee for all the eligible cases by Deans along with rationale for their decision for promotion/ no promotion.	NA
	Associate Professor to Sr. Associate Professor	HOD, Deans and Internal SME	Presentation made to the Promotion Committee for all the eligible cases by Deans along with rationale for their decision for promotion/ no promotion.	NA
	Sr. Associate Professors to Professors; Professors to Sr. Professor; School Head	Respective Dean, VC, Chancellor, Dir HR and External SME	NA	NA
Non - Faculty	Executive and above (excluding functional heads)	Reporting Manger + Functional Head + HR	Presentation made to Promotion Committee for all the eligible cases by Functional Heads along with rationale for	Final approval from Promotion Committee

			their decision for promotion/ no promotion.	
	Functional Head	Chancellor, VC, CCO and Director HR	Final approval by Promotion Committee	NA

## 1.8. Promotion Committee

1.8.1. There shall be a Promotion Committee comprising of:

- a. Chancellor
- b. Vice-Chancellor
- c. Director - HR

## 1.9. Eligibility criteria

1.9.1. To become eligible for promotion, the following eligibility criteria needs to be fulfilled.

- a. Minimum rating of '3' in two consecutive years in the annual performance appraisal to become eligible for promotion;
- b. Behavioral Competencies;
- c. Potential to perform at the next level/position;
- d. Vacancy at the next level/ position;
- e. No disciplinary case in the previous 2 consecutive years;
- f. Additionally, CAS will be looked at for promotion of faculty members.

## 1.10. Promotion Process

1.10.1. If an employee fulfills the eligibility criteria, s/he may be recommended for promotion by respective Reporting Manager and School/ Functional Head.

1.10.2. The employees who have been recommended for promotion shall be evaluated by the Promotion Committee, in accordance to the eligibility criteria mentioned in this policy.

1.10.3. The decision of the Promotion Committee shall be final and binding. However, should an employee feel dissatisfied with the decision of the promotion committee, the employee can put in a request for reconsideration of her/his case within 2 weeks of the communication of decision. The promotion committee may reconsider its decision, in case new facts (not considered before) are presented and it finds merit in revisiting its decision.

1.10.4. Communication of the decision will be made in all cases. Further, successful promotions and constructive & developmental feedback will be given to all the applicants.

1.10.5. At all levels, the promotion committee can identify employee(s) to promote other than those recommended