

*Effective Jan 2019*



**UPES**

**UNIVERSITY WITH A PURPOSE**

**UPES PRINCIPLES OF ENGAGEMENT**

*Human Resources*

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## **I. Grievance Redressal Policy**

### **1. Objective**

- 1.1. UPES believes in a comfortable and pleasant working environment. The University tries to make every effort to ensure that the employee's work life is comfortable; however, there may be times when problems occur. In these situations, it is necessary to:
- 1.1.1. Provide employees with an easily accessible mechanism for settlement of their individual grievances;
  - 1.1.2. Ensure fair, just and equitable treatment and consideration for resolving work related problems;
  - 1.1.3. Clearly define the process of addressing any complaint or concern highlighted by any employee.

### **2. Applicability**

- 2.1. This policy is applicable to all employees of UPES, including those appointed on contract/ deputation/ third party payroll or visiting basis.

### **3. Guidelines**

#### **3.1. Definition**

- 3.1.1. A grievance can be defined as any sort of dissatisfaction, which needs to be addressed in order to enable employees to function efficiently and effectively within the University.
- 3.1.2. For the purpose of this policy, 'Grievance' means individual grievance and is defined as employee's expressed feeling of dissatisfaction concerning conditions of employment or treatment by senior colleagues, Reporting Manager, or other employees, which includes all matters, including those related to:
  - a. Employment (such as salary payment, deputation, relocation, penalty, leaves, and other policies / practices);
  - b. Unfair / biased / prejudiced treatment or interpersonal issues;
  - c. Alleged discrimination, including harassment, because of race, color, sex, age, disability, national origin, marital status, or any other non-merit factor;
  - d. University's facilities of the University like canteen, library, etc.
- 3.1.3. However, this policy does not cover grievances pertaining to, or arising out of, the following:
  - a. Annual performance appraisal;
  - b. Disciplinary action, or appeal against such actions;
  - c. Termination / dismissal;
  - d. Sexual Harassment.
- 3.1.4. It should be noted that grievances pertaining to or arising out of disciplinary action should be reported and handled in accordance with the UPES – Way of Life,

whereas grievances pertaining to Sexual Harassment should be addressed under the Policy on Prevention of Sexual Harassment at Workplace.

### **3.2. Principles of Grievance Redressal Procedure**

- 3.2.1. UPES expects each stakeholder, who has been entrusted with the responsibility of receiving and addressing employees' grievances, to ensure fairness and timeliness of the process. They should undertake impartial fact-finding and provide adequate opportunity to the involved person(s) to present their case.
- 3.2.2. Counseling should be provided to the involved person(s), to the extent possible, to resolve issues.
- 3.2.3. Grievances reported under this policy will be treated with utmost confidentiality and sensitivity.
- 3.2.4. UPES expects all stakeholders involved to participate in the grievance redressal process in an open, empathetic and respectful manner. University does not tolerate any form of retaliation against employees availing themselves of this procedure.
- 3.2.5. However, the procedure should not be construed as preventing, limiting, or delaying UPES from taking disciplinary action against any individual, including possible termination, in circumstances (such as those involving problems of overall performance, conduct, attitude, or demeanor) where the disciplinary action is deemed as appropriate.
- 3.2.6. University also expects its employees to use the process judiciously and in good faith. If any employee is found to be misusing this policy by filing a false grievance, providing false witness, or impeding the process in any manner, knowingly or intentionally, University will consider disciplinary action against the employee. The disciplinary action will be based on the level of offence involved, and it may range from warning to suspension on the employment.

### **3.3. Procedure**

#### **3.3.1. Level 1: Reporting Manager and HR**

- a. Employee may communicate her/ his grievance in writing to their Reporting Manager with a copy to HR within 15 working days of the occurrence of the incident or event.
- b. In case the grievance involves the Reporting Manager, then the employee should contact the School Head / Functional Head (and in case of School Head/ Functional Head being the Reporting Manager, to the Vice-Chancellor), with a copy to HR.
- c. The concerned Reporting Manager, to whom the grievance has been raised by the employee, must immediately acknowledge the receipt of the grievance in writing and invite the employee for a formal meeting to discuss the grievance.
- d. The concerned Reporting Manager should go through the facts mentioned in the grievance, follow the guidelines provided in this policy, and identify a course of action / solution, in discussion with HR.

- e. The concerned Reporting Manager should revert to the employee with a course of action / solution within 7 working days from the date of receipt of the grievance, with a copy to HR.
- f. The course of action suggested may be either talking to employee to put matters in perspective, mediating with those involved in the grievance or changing certain practices at work.

**3.3.2. Level 2: Next Level Manager (School Head/ Functional Head or above) and HR**

- a. In case employee is not satisfied with the solution provided by the first level of Grievance Redressal process, he / she may represent the grievance to their next level manager, at least at the level of School Head/ Functional Head, with a copy to HR.
- b. The concerned School Head/ Functional Head should acknowledge the receipt of the grievance in writing, and should revert to the employee with a course of action / solution within 15 working days from the receipt of the grievance, in consultation with HR.

**3.3.3. Level 3: Vice-Chancellor**

- a. Vice-Chancellor, is the final authority for escalation of grievances, who can be approached if an employee is not satisfied with the solution provided by previous levels, or if grievance relates to School Head/ Functional Head
- b. The decision of Vice-Chancellor will be final, and no further appeals can be made after their decision on the issue

**3.3.4. Grievance Redressal Committee**

- a. At any stage in the above indicated grievance redressal process, a Grievance Redressal Committee may be constituted for the resolution of a specific issue, which is of a complex, multi-dimensional nature. This committee should comprise of:
  - Vice-Chancellor or their representative;
  - Director – HR or a representative from HR;
  - Representative of the Legal department;
  - Any other University representative if required.
- b. The Grievance Redressal Committee will undertake fact-finding and provide an opportunity to the aggrieved employee to present her/ his concern.
- c. The Grievance Redressal Committee will give their recommendation to the University within 15 working days. The University will take a decision based on this recommendation and communicate their decision through HR to the aggrieved employee within 15 working days from commencement of inquiry.

**3.4. Grievance Redressal Reports**

- 3.4.1. HR shall maintain and record all grievances referred to the Grievance Redressal Committee, number of grievances settled / pending and the same shall be reported to the Vice-Chancellor on a quarterly basis.