



**MINUTES OF THE TWENTY THIRD MEETING OF THE BOARD OF MANAGEMENT HELD ON 01 MARCH 2017 AT 10:00 HRS AT THE CONFERENCE ROOM**

The Twenty Third meeting of the Board of Management was held on 01 March 2017 at 10:00 hours at the Conference Room.

**PRESENT:**

The following were present:

Dr Leena Srivastava	Chairperson
Dr Rajiv Seth	
Air Marshal K K Nohwar (Retd.)	
Prof Dipankar Gupta	
Prof Ashok Gulati	
Dr Ashok Khosla	
Ms Anita Arjundas	
Dr. Alok Adholeya	
Dr Prateek Sharma	
Dr Arun Kansal	
Dr Anandita Singh	
Dr Smriti Das	
Dr Soumendu Sarkar	
Dr Suresh Jain	Special Invitee
Mr Dhanraj Singh	Special Invitee
Capt Pradeep Kumar Padhy (Retd.)	Secretary

Mr Tulsi Tanti, Mr Inder Walia and Mr Ishteyaque Amjad were unable to attend the meeting.

**ITEM NO. 1 : To confirm the minutes of the 22<sup>nd</sup> meeting of the Board of Management held on 22 December 2016.** The Registrar informed that the minutes of the 22<sup>nd</sup> Meeting of the Board of Management held on 22 December 2016, were circulated to the members of the Board. No comments on the minutes have been received.

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**TU/BM 23.1.1** The Board discussed and confirmed the minutes of the 22<sup>nd</sup> meeting of BoM held on 22 December 2016.

**ITEM NO.2(a): Submission of application for extension of approval of M.Tech and MBA programmes by AICTE for AY 2017-18.** The Registrar informed that an application with relevant documents had been submitted to AICTE on 04 February 2017, seeking an extension of approval for M.Tech and MBA programmes. He intimated that AICTE requirement of appointing a SC/ST redressal committee was being addressed by tasking the TU Equality Advisory Committee to look into such issues. He intimated the Board that AICTE had been requested to change the nomenclature of the recognised programmes, so as to explicitly bring out the programme names prevalent at the TERI University. Air Marshal Nohwar wanted to know whether the names of the programmes approved by the University reflected the sentiments of prospective students and the demand in the market. Dr Seth conveyed that due diligence had been done to ensure that the nomenclatures of each programme reflect the market realities and essence of the subject. Dr. Srivastava stated that the programmes launched by TERI University were unique in nature and AICTE had therefore been requested to include these nomenclatures in their approval process handbook.

The Board considered the matter and noted the application submitted to AICTE.

**ITEM NO.2(b):Progress on the status of setting up of Off-Campus Centre at Hyderabad.** The Registrar informed the Board that the final drawings for phase-I construction of about 3700sqm area had been submitted to GHMC after carrying out all necessary corrections. He further informed that the UGC stipulations for a total area of 5500 sqm of built up area would be met by creating additional academic and admin infrastructure of 1900sqm in the second phase.

The Board considered the matter and noted the initiatives taken towards setting up the off campus centre at Hyderabad.

**ITEM NO.2(c):Progress on the status of setting up of Off-Campus Centre at Guwahati.** The Registrar informed that earth filling work had been completed in the low-lying areas to make the site, construction worthy. He also informed that drawings for the building were being planned to commence construction work using the seed money of Rs 3 crores sanctioned by Govt of Assam to TERI.

The Board considered the matter and noted the initiatives taken towards setting up the new campus at Guwahati

**ITEM NO.3: Presentation on architecture of Off-Campus Centre at Hyderabad.** The Chairperson informed the Board that M/s Mindspace, a Bangalore based firm associated with designing most of TERI's construction projects had been contracted to provide architect consultancy for the Hyderabad project. Mr Sanjay Mohe, the chief architect of the project gave a detailed presentation on the G+1 structure and other green features of the building. The Board was informed that phase-I would be located on the northern part of the site so as to take advantage of the sloped terrain thus facilitating views right up to the horizon from every corner. Air Marshall Nohwar suggested that the design should cater for a likely future expansion where the number of students could go up significantly and,

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therefore, the foundation should be made strong enough to cater for an additional floor to be built in future on the existing structure, should the need arise. Mr Mohe intimated that the entire upper half of the site consisted of filled up soil & boulders and therefore the foundation would be specially prepared for a G+2 structure. He informed that passive design strategies had been used in the building architecture through building shape, orientation and composition in order to minimize energy consumption and improve occupant comfort. He mentioned that in terms of wind direction, the predominant south-west direction had been made use of by creating several openings to act as wind tunnels within the whole structure and Hyderabad being a hot and dry place, water bodies constructed at strategic places would help reduce the temperature. He stated that the southern sides of the buildings were projecting out and hence the sun beating on this side would be taken care of. A walk through on the full design was shown to the Board members at the end of the presentation.

The Board considered the matter and noted the design and green features of the Off-Campus Centre at Hyderabad.

**ITEM NO.4: Presentation by Department of Energy & Environment (DEE).** Prof Suresh Jain Head of DEE gave a presentation highlighting research activities carried out in DEE and its future growth plans. Dr Jain informed that the Department focused on research related to energy efficient & passive building design strategies, solar thermal systems, biomass gasification, bio-methanation, lignocelluloses ethanol, integration of renewable energy sources with electric grid, technologies for environment protection, impact assessment with special focus for climate change, environmental modeling, environmental health & risk assessment, aerosol science & climate change and integrated modeling (energy, emissions, air quality and health). He stated that the Department had the responsibility of conducting PG, PhD and distance education programmes along with research work. While bringing out the rich linkages of the Department with various national and international institutions, he elaborated on eleven different ongoing research projects undertaken by the faculty. He stated that a Centre of Excellence in Solar Thermal Energy Storage setup in the campus acted as a capacity building centre conducting advanced research and the Department had added a 'green' feature to its repertoire with the installation of a 48 kWp solar rooftop system along with a separate plant for hands-on training of the students. Dr Jain informed that the future plans of the Department entailed setting up of centres of excellence such as: Incubation Centre, Centre for Renewable Energy Technologies (CRET), Centre for Excellence in Energy Simulation and Modelling (CEESM), Centre for Green Buildings Simulation & Testing (CGBST) and Centre for Environment and Health (CEH).

Prof Gupta brought out that the title of PhD programmes affected the selection of doctoral students for academic roles and hence should be carefully designed to reflect the subject discipline. Dr Alok Adholeya opined that the master's degree is generally considered in identifying the subject discipline of a student, while the PhD merely reflected the research experience of any candidate. Dr Prateek Sharma informed that the University was aware of the issue and had debated and decided to conform to the present format of nomenclature. Air Marshal Nohwar suggested that vibration energy and wave energy could be fields worth studying

at the proposed CRET. He suggested that sustainable development studies focused on preserving natural surroundings in coastal areas be introduced by building linkages with institutions like National Institute of Ocean Technology (NIOT). Prof Gupta suggested that Dr Dhrubajyoti Ghosh of Kolkata might be involved for water related studies in the coastal areas. Prof Khosla suggested focus on material resources and soil science and added that they played a critical role in environmental problems. He opined that these were wide open territories which the University should get engaged in, at the earliest. Air Marshal Nohwar narrated the experience of farmers of Punjab as a case in point to prove the importance of the study of soil science. Dr Arun Kansal suggested that the DEE should evaluate and document the impact of research projects carried out so far. Prof Gulati suggested that the option of using the solar panels in the farmers' land without wasting land resources be explored and informed that support of ICRIER would be provided for related studies aiming to workout economics of productivity. Air Marshal Nohwar wanted to know whether public health was being covered under DEE and suggested that the Department look into issues of health hazards emanating from covered drains. The VC appreciated the involvement of all the Board members in problem identification and bringing out interdisciplinary challenging facts and stated that the ideas mooted by the members would be considered seriously as the University expands.

**Action :- Dean (Academic)**

The Board considered the matter and noted the research activities carried out in 'Department of Energy and Environment' and its future plans.

**ITEM NO 5. To report the decisions taken by the Chairperson on behalf of the Board of Management.**

**TU/BM 23.5.1** The Board resolved that the actions taken by Chairman, BoM be approved and recorded as per details given below:-

Ser	Name	Designation	Wef	Type of appointment
(i)	Ms Deepty Jain	Lecturer	01 Feb, 17	Direct Appointment
(ii)	Dr Chaithanya Madhurantakam	Associate Prof	01 Jan,2017	Re-designation
(iii)	Dr Naqui Anwer	Associate Prof	01 Jan,2017	Re-designation

**ITEM NO.6: To consider and approve the TERI University Compendium of Policies and Guidelines 2017.** The Registrar informed the Board that the Compendium of Policies and Guidelines had been revised to make it current and relevant. The VC clarified that the Compendium included items both for approval and information. The Registrar gave a presentation on the new policies and the proposed amendments. A discussion ensued on the new provisions. On the issue of flexible timings, members of the Board suggested that faculty members should have clear expectations laid out for their performance, with defined penalties for non-compliance and recommended that the University do away with the recording of

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timings. The VC concurred and said that she would discuss and evaluate the feasibility of this suggestion for implementation.

**TU/BM 23.6.1.** The Board resolved that “TERI University Compendium of Policies, Rules and Guidelines 2017” placed at Annexure be accepted as amended and approved.

**ITEM NO.7: Discussion on the plans for Celebration of 10th Year Anniversary of TERI University Campus.** The Registrar informed the Board that TERI University would be entering its 10th year of working from the Vasant Kunj campus commencing October 2017 and the University intended to make this an occasion not only for celebrating but to create a deeper engagement with its mission, values and future as a research body. The VC suggested the need to increase visibility and promotion of sustainability through the conduct of a major international event with, hopefully, the Prime Minister as the chief guest. She stated that the University was in the process of establishing an organising committee which would interact with the institutions which collaborated with TU and formalise the contours of the way ahead. She requested members to provide their input/suggestions to help chart the course. Prof Gupta suggested a lecture series on sustainability which could be published and distributed to scientists and professionals.

**TU/BM 23.7.1** The Board discussed and resolved to collate inputs from all stakeholders to chalk out a programme.

**ITEM NO. 8: Presentation on Atal Incubation Centre** Dr Rajiv Seth informed the Board that the Government of India had set up the Atal Innovation Mission (AIM) at NITI Aayog which proposed to establish Atal Incubation Centres (AICs) to support innovators and start-up businesses in their pursuit to become successful entrepreneurs. The AICs focused on specific sectors like manufacturing, transport, energy, health, education, agriculture, water and sanitation and would get a grant-in-aid of Rs. 10 Crores. He informed that the AICs could be established as a ‘for profit company’ under Companies Act 2013 and TERI University, in collaboration with TERI, had submitted a proposal for setting up an AIC at TERI’s Gwal Pahadi campus with electricity, renewable Energy and environmental sustainability as its focus areas. He stated that the proposed AIC would be entrusted for mentoring, training, conducting investor/ecosystem meets, providing business strategy support, facilitating collaborative engagements while working as facility for prototype and product development. Dr Seth informed that over 3650 applicants including 1700 academic institutions had participated in the bid and TU was one amongst 63 shortlisted applicants.

The Board considered the matter and noted the proposal on AIC.

**ITEM NO. 9: HDFC Loan presentation by Finance Officer.** Mr Dhanraj Singh , Finance Officer informed the Board that based on the University’s application, HDFC Limited had sanctioned a loan of Rs.30 Crores on certain terms and conditions which permitted a repayment tenure of 144 Months with 24 months of moratorium period from the date of disbursement. He informed that the rate of interest applicable would be linked to HDFC’s Corporate Prime Lending rate (HDFC CPLR) of 17.65% per annum and the applicable rate for the financial

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facility would be 9.75% p.a. The Finance Officer informed that the loan would be repaid by TERI University from the cash flow from the premises being let out to M/s International Tractor Limited at an average monthly rental income is Rs. 42 lakhs. He informed the Board that as security the building of TERI University, Delhi Campus and underwriting of rental income of Delhi Campus would be mortgaged.

The Board considered the matter and noted the loan processed through HDFC for Hyderabad Off-Campus Centre.

**ITEM NO. 10. Discussions on UGC report on review of functioning of TERI University.**

The Registrar tabled the UGC letter F.No 6-6/95(CPP-I/DU) dated 23 Dec 2016 containing the report of Expert Committee on review of functioning of TERI University.

The Board considered the matter and noted the observations and suggestions of the Expert committee.

There being no other items for discussion the meeting was adjourned.

Sd/  
Capt Pradeep Kumar Padhy (retd.)  
Registrar

**Annexure : -**  
TERI University Compendium of Policies, Rules and Guidelines -2017

**Distribution:-**

Electronic Copy:

1. Chancellor, TERI University
2. Vice Chancellor, TERI University
3. All members of Board of Management
4. Website

Printed Copy:

5. Registrar, TERI University

**Compendium of Policies, Rules and Guidelines for  
TERI University**





## Definitions

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In this Compendium unless the context otherwise requires

- (a) “University” means the TERI University.
- (b) “Authorities” mean the authorities of the University as defined in the MoA/Rule.
- (c) “Board of Management” means the Board of Management which is the apex body of the University.
- (d) “Central Government” means the Government of India.
- (e) “Vice Chancellor (VC)” means the Vice Chancellor of the University.
- (f) “Employee” mean all contractual regular employees in the faculty and staff on the pay roll of TERI University.
- (g) “Faculty” means employees engaged in teaching in the University.
- (h) “Staff” means personnel employed in various staff roles in IT, technical/electrical, laboratory, academic administration and general administration sections.
- (i) “Members of the family” in relation to an employee member includes:
  - i. The wife, child or step-child of such employee residing with and dependent on him and in relation to an employee who is a woman, the husband residing with and dependent on her, and
  - ii. Any other person related, whether by blood or by marriage to the employee or to such faculty member’s wife or husband and wholly dependent on such University faculty member, but does not include a wife or husband legally separated from the faculty member or child or step-child who is no longer in any way dependent upon him/her, or whose custody the employee has been deprived of by law.
- (j) “Service” means service under the University.

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## **Introduction**

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This compendium of information brings together policies, guidelines and rules for the functioning and conduct of the employees of the University. These have been drawn up to facilitate understanding of what the University management expects of its faculty and staff as well as what it provides them in terms of services and perquisites.

These rules and provisions have been approved by the Board of Management, where applicable, and are subject to amendment to meet any changed requirement of the University. All employees of the University are required to familiarise themselves with all aspects of this Compendium as well as the handbook of Roles and Responsibilities.

## **Administration**

The Board of Management, chaired by the Vice Chancellor, is the principal executive body of the University. The Vice Chancellor is its Chief Executive Officer. All academic matters are the responsibility of the academic council, the principal academic body of the University which is chaired by the Vice Chancellor. In addition to these, other committees have been constituted to aid the University's administration.

The email contacts of key personnel are provided below:

Chancellor	Shri Ashok Chawla	Ashok.Chawla@teri.res.in
Vice Chancellor	Dr Leena Srivastava	leena@teriuniversity.ac.in
Pro Vice Chancellor	Dr Rajiv Seth	rseth@teriuniversity.ac.in
Registrar	Capt Pradeep K Padhy (Retd.)	pradeep.padhy@teriuniversity.ac.in

TERI University's Board of Management is responsible for its overall administration and control. The Academic Council decides the academic policy of the University approves the curriculum, courses, and examination results and appoints committees to look into specific academic matters arising from time to time. The Planning and Monitoring Board advises the Board of Management and Academic council on any matter, which it considers necessary for the realisation of the objectives of the University. The Finance Committee renders financial advice.

## **Vision**

The vision of the University is as follows:-

- i. To accelerate the transition towards a more sustainable world through the creation of knowledge and human capacity.
- ii. To be a globally recognised University in the sphere of sustainability studies.

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## **Values**

The University, in the design of its teaching-learning environment, holds dear the following values which it would expect its faculty members to preserve and strengthen

- i. To instill the knowledge of, and desire for, holistic approaches to problem solving
- ii. To empower the commitment to environmental protection and social justice
- iii. To constructively engage in deliberative processes
- iv. To provide access to the best knowledge resources on sustainability thinking

## **Mission**

The mission of the University is

- i. To create new knowledge and contribute to the writings and discourse on sustainability issues
- ii. To design and deliver academic programs, training and research on sustainability issues relevant to all streams of life and across age groups, assimilating the latest science and evidence.

## **Code of conduct**

The code of conduct is laid out in a document which is approved by the Board of Management of the University.

## **Equal Opportunity Policy**

TERI University being an equal opportunity employer follows the principle of providing employment opportunities regardless of gender, religion, caste, region and diversity. TERI University would also encourage those who are differently abled in appropriate functions.

## **Induction of New Employee**

Each new employee will be handed over/given in electronic form, the following by the Administration section at the time of joining:

- i. Joining Report Form
- ii. Group Insurance Form
- iii. Declaration Form regarding home town and family members entitled to LTC
- iv. Provident Fund Form
- v. Health Insurance Cover Forms (as applicable)
- vi. TERI University Diary
- vii. An electronic ID card
- viii. Compendium of rules and guidelines

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Office of the Registrar will make provision for proper work place for the new employee. The expected arrival of the new persons will be communicated to all faculty members and staff of the University.

Prior to joining, the Faculty member and staff are expected to give a certificate of sound physical and mental health, appropriate for the job. In case this is not done prior to joining, it is the responsibility of the employee to submit this at the earliest. Non-compliance with this condition could be seen as a breach of contract. The employee also has the responsibility to submit documentation relating to his/her last drawn salary.

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## Chapter I - Classification, Conditions of Service

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### 1.1 Types of Employment

The University employs following two types of personnel:-

- 1.1.1 Employees, who are on a contract for a specified period and entitled for all financial and welfare benefits as specified in the compendium as regular employees
- 1.1.2 Consultants, who are employed on a consolidated emolument without any further financial and welfare benefits.

### 1.2 Terms & Conditions of Service of Faculty

The faculty shall be regular employees, and their appointments, shall be governed by the following philosophy, terms and conditions: -

- 1.2.1 As a University which is financially self-dependent, it is imperative that faculty appointments are made with due care and justify full time engagement. Being a research led University, it is expected that all faculty members engage in substantial research activities beyond providing guidance to PhD students. Broadly speaking, faculty members would be expected to carry a work load of between 12 – 14 credits of teaching a year; supervise, at any given time, at least 1 PhD student at an Assistant Professor level and at least 3 PhD students for higher level faculty; participate responsibly in Institutional development/service activities and engage actively on sponsored research projects as well. Additionally, all faculty members will be expected to contribute towards non-teaching revenue generation for the University, as specified periodically. It is recognized that there would be variations between faculty members based on aptitude, discipline etc. and as such the above should be taken merely as a guideline, with specificities to be discussed and agreed upon annually during the appraisal process.
- 1.2.2 All first faculty appointments will be made on a contract basis for a period of 5 years and will be subject to approval by the Board of Management of TERI University. Contracts can be renewed any number of times, based on overall performance appraisal<sup>1</sup> and notwithstanding specific recognitions, with each such renewal being for a period not exceeding 5 years, except for full professors whose contracts could be renewed for 10 years or till the age of retirement whichever is earlier. Every initial appointment shall be subject to the production of a medical certificate from a certified medical practitioner stating that the employee is in sound mental health and physically fit for service in the University.

Retirement age of all faculty would be 70 years, if physically and mentally fit. Faculty members can continue in executive positions till the age of 65 years. Provided further that if the date of retirement of a faculty falls at any time during

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<sup>1</sup> The Performance appraisal process henceforth would result in an agreed individual achievement goal for the new academic year for each faculty member and would also assess the performance of a faculty member against agreed achievement goals for the past academic year. Persistent underachievement could result in verbal warning, written warning and ultimately possible termination of services.

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the Academic Session, the Executive Committee to the Board of Management may re-employ the teacher for the period up to the end of the academic session, with a view not to disturb the work of the University. All faculty appointments to posts under the University shall ordinarily be made on probation for a period of one year after which period the appointee, if confirmed, shall continue to hold his/her office as per the terms and condition of his/her appointment letter. Retirement age for Administrative staff would be as per GoI rules.

- 1.2.3 The appointing authority shall have the power to extend the period of probation, for such periods as may be deemed necessary, provided that, if after the period of probation, the faculty member is not confirmed, and, his/her probation is also not formally extended, he shall be deemed to have continued on a temporary basis and that his/her services may then be terminable on a month's notice or on payment of a month's salary in lieu thereof.
- 1.2.4 The Board of Management of TERI University shall have the power to terminate the services of any faculty, on the recommendation of the Vice Chancellor, by giving three months' notice or three months' salary in lieu thereof. A faculty member of the University may terminate the engagement by giving the appointing authority three months' notice, or notice till the end of the academic semester in which the notice is given (whichever is longer).
- 1.2.5 A faculty member of the University shall devote the whole of his/her time to the service of the University and its purpose and shall not engage, directly or indirectly, in any trade or business or any other work which may interfere with the proper discharge of his/her duties, but the prohibition herein contained shall not apply to academic work and projects undertaken as faculty of the University/adjunct professional of TERI, with the prior permission of the Vice Chancellor.
- 1.2.6 The appointing authority shall have the power to terminate the services of any appointee without notice and without any cause assigned during the period of probation.

### **1.3 Re-designation/Promotion of faculty within the TERI University**

- 1.3.1 The TERI University is a research university offering several innovative courses. Faculty in the University are required to work on curriculum design and content creation/revision, in addition to research and research guidance in their chosen field of study. It is imperative for all faculty members to actively participate in the development process and contribute towards the establishment of a well-defined educational and research space unique to the University.
- 1.3.2 Given the above, the University has policies to attract outstanding faculty as well as define its own policy to meet the legitimate aspirations for promotion of the existing faculty to higher positions through a transparent process. Such a policy will facilitate the re-designation of TERI faculty from Lecturers to Assistant Professors and promotion from Assistant Professors to Associate Professors, and from Associate Professors to Professors. The criteria for such re-designations/promotions, keeping in mind the minimum qualifications stipulated by the UGC for such posts, are delineated below..

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## **1.4 Criteria for re-designating Lecturer to Assistant Professor**

The position of Lecturer is premised on the select faculty member obtaining a Ph.D degree within 3 years of joining the University. As such, any lecturer who fulfils his conditions of joining would be eligible for re-designation to an Assistant Professor's post.

## **1.5 Criteria and process for re-designating Assistant Professor to Associate Professor**

- 1.5.1 The criteria for promoting an Assistant Professor to the post of an Associate Professor is, necessarily, much more stringent. It is expected that an Associate Professor of TERI University would have the length and breadth of exposure that would allow, or has resulted in, her/him to effectively contribute to the development of the University and its students. Additionally, it is expected that the faculty member would have demonstrated her/his contribution to the creation and advancement of knowledge through extensive research activity and publications in peer reviewed journals, while striking a proper balance between high quality teaching and research.
- 1.5.2 A faculty member, considering herself/himself eligible for such a promotion would present a written case to the Dean (Academic) after completion of at least eight years, and definitely within twelve years, as an Assistant Professor. A Committee comprising the Vice Chancellor, Pro-Vice Chancellor, two Deans, concerned HoD and the Registrar from the University will screen and discuss the application for suitability. The applicant will need to support her/his application with relevant publications and other such material. Any Assistant Professor unable to move to the next level after 12 years at this level may be put on notice.
- 1.5.3 Notwithstanding the above, all appointments at the University will meet the UGC Regulations on minimum qualifications for appointment of teachers and other academic staff issued from time to time.
- 1.5.4 The University would view the application along with other performance parameters such as:
  - i. The annual Appraisal forms
  - ii. Student evaluations
  - iii. Self-development efforts (Participation in conferences/workshops/seminars; Knowledge of current literature; inter-disciplinary linkages etc.)
  - iv. Contribution to institutional development (Revenue contributions, curricular and co-curricular activities; Training programmes, collaborative work etc.)
  - v. Research students guided (At least one PhD student should have successfully defended her/his thesis)
  - vi. At least 8 research publications in international peer reviewed journals
- 1.5.5 A Promotion Advisory Committee, chaired by the Vice Chancellor and consisting of the Deans, Registrar and two professors from an unrelated university would examine the application approved by the internal Committee and interview the candidate. The recommendations of the Promotion Advisory Committee would be forwarded to the Vice Chancellor for final endorsement and for forwarding to the Board of Management for ratification.

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## **1.6 Criteria and process for re-designating Associate Professors to Professors**

- 1.6.1 A Professor in the TERI University is expected to have made significant contributions to the advancement of knowledge and should be acknowledged as an individual with academic excellence by his/her peers. S/he should have an outstanding record and reputation at the national and international levels.
- 1.6.2 Candidates applying for promotion from an Associate Professor to the rank of a Professor would be expected to have made a broad and sustained contribution to their field and discipline nationally and internationally. It is also expected that s/he would have contributed significantly to research and to the development of the university – both academically and financially.
- 1.6.3 Apart from contributions in international peer reviewed journals, such candidates are expected to have supervised 3 PhD candidates successfully. Other parameters that would influence the decision on promotion would center around: quality of teaching and research<sup>2</sup>; design and implementation of innovative pedagogical tools and academic programmes; and contributions to national policy or to academic debate.
- 1.6.4 Notwithstanding the above, all appointments at the University will meet the UGC Regulations on minimum qualifications for appointment of teachers and other academic staff issued from time to time.
- 1.6.5 A faculty member considering herself/himself eligible for such a promotion would present a written case to the Dean (Academic) after completion of at least three years, and definitely within eight years, as an Associate Professor. A Committee comprising the Vice Chancellor, Pro-Vice Chancellor, all Deans, concerned HoD and the Registrar from the University will screen and discuss the application for suitability. The applicant will need to support her/his application with relevant publications and other such material. Any Associate Professor unable to move to the next level after eight years in this level may be put on notice.
- 1.6.6 The University would view the application along with other performance parameters such as:
  - Positive evidence of actual and sustained academic achievement and future promise
  - Evidence of national/international peer esteem (eg. Invited presentations, roles in professional bodies, committee memberships, awards etc.)
  - Leadership qualities
  - Contribution to research/consultancy assignments or to policy developments
  - Evidence of publications – numbers, periodicity, quality etc.
  - Number of patents awarded/filed
  - Quality of the application made and evidence presented
  - Ability to raise research funds

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<sup>2</sup> In the case of faculty engaged in technical subjects, their contributions, or lack thereof, to patentable innovations would be a key consideration.



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If desired, the Committee may seek a specific feedback from current or past students.

1.6.7 A Promotion Advisory Committee, chaired by the Vice Chancellor and consisting of the Deans, Registrar and two professors from an unrelated university would examine the applications approved by the internal Committee, interview the candidate and provide a recommendation. The recommendation of the Promotion Advisory Committee would be forwarded to the Vice Chancellor for final endorsement and for forwarding to the Board of Management for ratification.

## **1.7 Award of title of Emeritus Professor**

1.7.1 The title "Emeritus Professor" may be conferred on professors for distinguished and sustained service to the University:

- on their retirement; or
- on their leaving the University to take up an appointment elsewhere when they are unlikely to return to the TERI University to work.

1.7.2 The award of "Emeritus Professor" will be exceptional in nature and may be conferred on academic or research staff for distinguished service which is demonstrably beyond the level of service usually expected of a senior staff member

1.7.3 The following criteria/process will be followed in conferring this title:-

- The nominee should have made significant and distinctive contribution to the development of TERI University as an institution.
- The nominee should have served TERI University as Professor for at least 10 years prior to his/her retirement.
- The nominee should be a scholar of nationally and internationally recognized eminence and his/her contribution should have made a difference to the discipline and/or to society. The difference to the discipline/society could be judged in terms of formulation of new concepts/paradigms/hypotheses/innovations/discoveries which have been recognized by peer group academics and should be in evidence through publications and other forms of research output.
- The process of nomination may be initiated by any faculty member of TERI University who has served the University for at least 7 years. The nomination may be sent directly to the Vice Chancellor along with the consent and Curriculum Vitae of the nominee.

1.7.4 The Vice Chancellor upon receiving a nomination will consult at least three eminent academicians of the discipline from within or outside TERI University, and upon satisfying herself/himself, make recommendations to the Board of Management. In the event of negative report(s), the Vice Chancellor may in his/her wisdom decide to consult other experts in the discipline before presenting the case to the BoM. The BoM will decide on the merit of all cases, and the deliberations will be kept in strict confidence.

1.7.5 The appointment of 'Professor Emeritus' shall be purely honorary and for life and will carry with it no commitment for providing a salary.

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1.7.6 A Professor Emeritus shall be free to do academic work at the University, and may supervise research scholars as a co-supervisor along with a regular faculty member.

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## Chapter II - Working Hours & Holidays

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- 2.1 The TERI University observes a 5-day week for work at its administrative offices, with Saturdays and Sundays as weekly holidays. The normal hours of work are from 0830 hours to 17 00 hours with a lunch break of an hour from 1245 hours to 13 45 hours. This arrangement may be changed for academic work, depending upon exigencies related to the academic calendar and teaching requirements in the University.
- 2.2 Staff of the University may wish to have some flexibility in their work schedules. Within the guidelines described below, all full-time staff members can request the hours of work that *consistently* suit their individual needs. However, it is recognized that it will not be possible to accommodate all such requests for alternative schedules. It is expected that all offices will be open during regular university hours.
- Under flexible working hours, daily hours totalling 7.5 per day, 5 days per week, may be selected during the time 7:30 a.m. through 6:30 p.m.
  - The University may be unable to offer flexible hours for some positions and/or during certain times of the year.
  - A fixed schedule should be selected for a period of time at least six months in duration.
  - Lunch time must be scheduled for a minimum of 1/2 hour.
  - A request for an alternative schedule (i.e., other than 8:30 a.m. through 5:00 p.m. with one hour lunch) must be discussed and confirmed in writing with an individual's supervisor and/or the faculty member(s) and others who are directly affected by the individual's work.
  - The individual selecting an alternative schedule must see that at least one other person is available to handle issues that arise during his or her absence.
  - Hours actually worked must be recorded.
  - During the probation period, staff members can expect to be asked to work the standard 8:30 a.m. to 5:00 p.m.
- 2.3 In case a staff member, due to official engagements, has to report late or leave early and is unable to record the appropriate entry/exit time, she/he may send a communication to her/his supervisor with a copy to the Registrar's office for records.
- 2.4 Faculty members would have greater flexibility to plan their work, in consultation with the concerned Heads of Departments/Dean (academic), and without disrupting the academic schedule/timetable, but will be expected to meet their minimum obligations (as given in section 1.2.1). It is also expected that faculty members would be available for all scheduled and statutory meetings. The concerned Head of Department may require a faculty member to adhere to specific timings if she/he deems it necessary for specified reasons. The University may withdraw this flexibility at any time if it is found detrimental to the efficient functioning of the University or it leads to mis-use.

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- 2.5 All faculty members and staff who are full time employees of the University can be called for duty, when required. No full time employee can take up *any* assignment/work outside the University during the period of employment with the University, unless under intimation and/or explicit approval of the Dean (Academic)/Registrar.
  - 2.6 Needless to say, faculty members are expected to maintain their integrity in recognising that they have been contracted to work for a minimum of 37.5 hours in a week. The flexibility that is being provided is merely in terms of timings and not in terms of the level of effort.
  - 2.7 Notwithstanding any of the above, the length of a recognised working day will not exceed 10 hours,
  - 2.8 Any grievances related to these rules may be brought to the attention of the Vice Chancellor
  - 2.9 The list of holidays will be notified by the University at the beginning of the calendar year. Holidays declared by the Government/Local Administration in addition to this list, will be observed only if confirmed by the University. Alternative arrangements will be made by the concerned faculty to hold classes scheduled on that day under intimation to the Head of the Department/Section in charge (as applicable).

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## Chapter III – Training & Development

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- 3.1 Employees will be encouraged to attend training programmes/workshops/symposia, etc. as identified below, under any conditions specified, with the prior approval of the Vice Chancellor (for faculty) and Registrar (for Staff).
- Refresher and Orientation programmes
  - Programmes sponsored by outside agencies.
  - Programmes forming a part of the collaborative research project undertaken by the University
  - Any other programmes of interest and self-development that could be of use to the University
- 3.2 It is mandatory for employees desiring to engage in external academic activities or to receive training to inform the University or seek a no-objection prior to application. Failure to do so may result in a rejection of approval or other disciplinary action. If the training is international and extends beyond two-weeks, the concerned employee will need to execute a bond as per TERI University rules. The duration of the bond will be 3 times the duration of the programme subject to a minimum of 6 months and maximum of 3 years. The bond amount would include the total remuneration to the employee during the period of his/her absence as well as the cost, if any, borne by the TERI University in connection with the training programme such as programme fee, travel cost, etc., if any.
- 3.3 In the event the employee fails to complete the training programme or withdraws/absents himself/herself from the training programme without formal approval, the employee will be required to pay back salary and employment benefits for the period of absence and cost, if any, incurred by TERI University for his/her attending the training programme. This will be in addition to fulfilling any contractual obligations made while proceeding for such a programme.
- 3.4 100% salary and employment benefits will be paid to employees proceeding on training programmes, with prior approval, except in cases where the employee proceeds on Leave Without Pay (LWP).

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## **Chapter IV – Leave & Leave Travel Concession (LTC)**

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### **4.1 General**

- 4.1.1 Leave is to be treated as a privilege and cannot be claimed as a matter of right. Prior sanction of the authorities concerned is to be obtained before proceeding on leave and for any subsequent extension. Particular care needs to be taken if the leave planned is for an extended period during the course of a semester with an impact on the fulfillment of responsibilities of the concerned faculty. In extraordinary or emergent circumstances when one cannot anticipate the requirement of leave, employees are required to send an intimation by e-mail or inform telephonically and formally apply for leave immediately on re-joining.
- 4.1.2 The leave sanctioning authority may refuse or revoke leave of any kind. Absence without prior approval could, at the discretion of the Vice Chancellor, constitute break in service. An employee will be deemed to have resigned from service with effect from the first day of absence, with no notice period applicable, if the period of such unauthorized absence exceeds 30 days. An employee who is thus absent will not, unless the competent authority directs otherwise, be entitled to any pay and allowances for the period of such absence. Whenever employees proceed on leave/outstation duty, they will furnish their contact address, telephone number etc. to the office for use in an emergency.

### **4.2 Types of Leaves**

- The following types of leaves are authorised to all regular employees of the University.
- Casual Leave
- Earned Leave
- Maternity/Paternity Leave
- Sabbatical leave
- Leave Without Pay
- Leave Travel Concession

#### **4.2.1 Casual Leave (CL)**

A regular employee is eligible for CL, on pro rata basis at the rate of 7 days in a calendar year rounded off to the nearest half day. The following terms will be applicable:

- The credit of this leave will be offered at the beginning of the concerned year.
- The leave cannot be carried over the next year.
- Regular weekly holidays and other holidays/closed days can be combined, prefixed, suffixed to CL and will not be counted as part of CL.
- CL can be taken for half day.
- CL cannot be combined with any kind of leave.

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- Excess CL applied for, will be converted into earned leave/LWP.
  - Excess CL availed will be converted into earned leave at the time of final settlement.
  - Leave without pay (LWP) will not count for determining the entitlement of CL.
  - CL is not admissible for employees on study leave/sabbatical leave.

#### **4.2.2 Earned Leave (EL)**

A regular employee will earn leave at the rate of two-and-a-half days for every completed month of service.

The following terms will be applicable:

- Leave account of every regular employee shall be credited with EL at the end of the half year period finishing on June 30 and December 31.
- This leave can be accumulated up to 240 days at a time as reckoned on 31st December, after which the excess leave will lapse.
- The total EL accumulated will be encashable at the time the employee leaves the services of the University but subject to a ceiling of 240 days. Also, encashment of a block of 1 to 15 days EL per year would be permissible subject to the EL balance in the leave account of the employee remaining at least 60 days after debiting the number of days of EL for which encashment is sought. A minimum of 5 days EL (in parts or otherwise) must actually be availed of as a qualifying condition for encashment during the year.
- EL is not admissible for the period an employee is on sabbatical leave/study leave.
- Holidays/closed days falling within the period of EL will count towards the EL.
- Half day EL will be admissible only if the CL has been exhausted.
- Leave without Pay (LWP) duration will not be counted for determining the entitlement of EL.
- In the event a staff member avails EL prefixed and/or suffixed by weekly or any other holiday, and takes CL with such leave, the total period of CL, EL and prefixed/suffixed holiday will be treated as EL.

#### **4.2.3 Maternity/Paternity Leave**

Married female regular employees of TERI University will be eligible to Maternity Leave with full pay for a maximum period of 182 days (including weekends). Maternity leave shall be admissible only when the female employee has actually worked for a period of not less than eighty days in the twelve months immediately preceding the date of her expected delivery (Holidays declared under any law shall be taken into account). Such employees can avail another 90 days of half day leave (including weekends) at half pay if they so wish. If extension of the leave is required, leave will be granted accordingly and counted against EL. If there is no such leave due, extraordinary leave without pay can be granted by the Vice Chancellor or any one authorized by him/her.

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Maternity leave can be availed of for up to two children of an employee.

Paternity leave of 15 days is admissible to new fathers which can be availed at any time, and either as single days or a full block, till his child attains an age of one year. Paternity leave can be availed for up to two children.

#### **4.2.4 Sabbatical Leave**

Sabbatical leave is admissible for academic development of Employees after 6 years of continuous regular service for duration of up to one year at a time with full salary and allowances. Grant of sabbatical leave is discretionary and would depend on the performance and contributions of the said faculty member. The minimum period of sabbatical leave should be three months.

Employees granted sabbatical leave are required to execute a contractual agreement with the University for serving the University for a period of three years after the leave period. If a shorter duration sabbatical leave is availed, the contractual requirement to serve the University would be corrected on a pro-rata basis.

During sabbatical leave, 100% salary and benefits will be applicable. Sabbatical leave may not exceed 2 spells of one year each. During Sabbatical leave, the employee shall not be entitled to LTC.

#### **4.2.5 Leave Without Pay (LWP)/Extra Ordinary Leave**

LWP can be availed of in very exceptional cases with prior sanction of competent authority. No casual/earned leave entitlement will accrue for the period of leave without pay. Also 10% of the leave without pay will be debited to the employee's EL entitlement for the ensuing period. Further, the period of LWP will not reckon as service for various entitlement/privileges including gratuity.

Extraordinary leave may be granted at the discretion of the competent authority for meeting specific and special contingencies.

Employees proceeding on sanctioned leave without pay (LWP) for a period of more than one month for the purpose of studies in India or abroad shall, before proceeding on such leave, comply with the requirement of payment of salary in lieu of notice period as stipulated in the terms of appointment, and any bond he/she may have executed. Clearance should also be completed before proceeding on leave.

The amount so deposited shall be refunded to the employee upon re-joining TERI University and submission of re-joining report through proper channel after availing the LWP as sanctioned.

In case the employee has sufficient Earned Leave (EL) balance to his/her credit to cover up the notice period requirement as per the terms of appointment, then such deposit is not required. However, if the EL balance covers only a portion of the notice period requirement, then the payment in lieu of notice period shall be calculated proportionately after taking into account the balance of EL available to the employee's credit.

### **4.3 Commencement and termination of leave**



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Leave ordinarily begins from the date on which leave as such is actually availed of and ends on the day the employee resumes his duty.

Sundays and other recognized holidays may be prefixed and/or suffixed to the leave with the permission of the authority competent to sanction the leave.

#### **4.4 Leave Year**

For the purpose of this Compendium, unless otherwise specified, the term ‘year’ shall mean a calendar year.

#### **4.5 Re-joining of duty before the expiry of the leave**

An employee may return to duty before the expiry of the leave granted to him/her, with the permission of the competent authority.

#### **4.6 Authorities Empowered to Sanction Leave:**

The authorities specified below, are empowered to sanction leave to the extent shown) thereof. Cases for sanction of leave in excess of these limits or of leave not mentioned below shall be submitted to the vice chancellor. Before sanctioning the leave, the sanctioning authority shall ensure that leave asked for is admissible and is at the credit of the teacher concerned.

Kind of Leave Extent of Power	Sanctioning Authority	Copy to
All types of Leave to		
Pro VC	VC	Full
Dean/Registrar	VC	Pro-VC
HoDs/Centre Head	Dean (Academic)	Pro VC & VC
Other Faculty	HoD	Dean (Acad.)
Other Staff	Section-in Charge	AGM - Registrar

#### **4.7 Leave Travel Concession (LTC)**

The University offers travel assistance to the regular employees and their families for journeys from the headquarters or the station of tour/training in India to their home town and back during leave subject to the conditions as hereinafter provided.

- For availing of this facility, the employee should have put in at least one year of regular service.
- Subject to the provision at (a) above the employee can avail LTC once in each calendar year of service.
- LTC not availed in a calendar year cannot be carried forward to the next year.
- Total number of LTCs availed by the employee during his/her tenure with TERI University will not exceed the total number of reckonable years of regular service. However, employees who serve the University only for a part of the year

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after completion of one year regular service shall be eligible for LTC on pro-rata basis. LTC may be sanctioned against applications tendered as per TERI University rules.

- e. This concession will cover the employee, his/her spouse and up to two children (but excluding married sons and daughters) residing with and wholly dependent on the employee.
- f. The employee can either claim reimbursement of LTC
  - equal to one month's basic salary on the basis of signed statement by the employee without production of receipt. In this case it is not necessary to avail leave, and the LTC can be availed by filling in the requisite application form.

OR

- amounting to actual to and fro travel fare incurred by the specified mode and class of travel for visiting home town. In this case, it is necessary to avail 5 days of leave including prefixing/suffixing of weekends/holidays.

Note: Counterfoils of the used air tickets, cash receipts or serial numbers of the rail or bus tickets, as the cash may be, as well as details and dates of journeys undertaken must be provided with the claim.

- g. The LTC shall be admissible to an employee and his/her family for visiting his/her home town during leave for not less than five days, including weekly off days/holidays.
- h. In respect of LTC, the University's liability shall be limited to the fare by the shortest route as per entitlement calculated on the basis of point to point air fare or through ticket by rail or bus for the outward and return journey.
- i. Where the husband and wife are both employees of the University, the concession of actual fare at (f)(ii) above will be admissible only in respect of one of them in accordance with the entitlement of the husband or of the wife at their option. However, the concession at (f)(i) above viz. one month basic salary will be admissible to each one of them.
- j. The members of an employee's family shall normally accompany the employee for availing of this concession. However, under special circumstances, with prior approval, they can travel separately without accompanying the employee only one way, either during outward or return journey. The gap between the dates of their journeys should not, however, exceed six months.
- k. The employee can take an advance of 80% of the cost of the outward as well as return journeys and he/she should ensure that the onward journey is commenced within one month from the date of the grant of the advance in full. He/She should also submit the bills adjusting the advance taken within one week of the completion of the return journey.
- l. The home town means the permanent home town or village in India as declared by the employee. For determining whether an employee's declaration of home town may be accepted, the following criteria will be applied:
  - Whether the place declared by the employee is the one which requires his/her physical presence at intervals for discharging various domestic and social

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obligations, and, if so, whether after his entry into the University's service, the employee had been visiting that place frequently;

- Whether the employee owns property in that place or whether he/she is a member of a joint family having such property there;
- Whether his/her near relations are resident in that place;
- Whether prior to his/her entry into the University's service the employee had been living there for some years.

Necessary declaration form for family members and home town is to be furnished by the employee.

In case of any doubts in regard to any provision of these rules and also in respect of cases not covered by these rules, the matter will be referred to the Registrar, whose decision will be final.

Any amendment to these rules or any relaxation can be made by the University as and when considered necessary.

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## Chapter V - Travel/DA

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### Rules For Travel And Reimbursement Of Travel Expenses

#### 5.1 Local Travel

5.1.2 Limited office transport is available for travel for official work. Requisition for office transport may be raised for this. All employees are required to use the most economical service providers for their official transport needs and will be reimbursed for the same.

5.1.3 Vehicle log book/travel memo

5.1.4 All employees using TERI University transport/TERI University hired transport are responsible for documenting travel details in the vehicle log book/memo duly indicating the project code, place visited and kilometers run.

5.1.5 Outstation Travel

Outstation travel will be undertaken with prior approval of the Pro VC/Vice Chancellor (for faculty) and Registrar (for staff). Faculty members may also seek travel advance and travel booking arrangements by the University. Travel must be planned well in advance to avoid last minute rush and avail cost advantages of dynamic pricing. All travel and hotel bookings must be made through the AGM (AS)/Coordinator (Transport and Logistics).

Consumption of cigarettes, alcohol or any other addictive substances would not be reimbursed.

Travel: All faculty members and senior administrative staff would be eligible for travel by air but, in case of train journeys of less than 6 hours, may be encouraged to use the train if there is a substantial fare difference. For other staff, the Registrar would approve air/train/bus travel.

Boarding and Lodging: All Professors/Associate Professors/Registrar would be eligible for stay in four star hotels. All Assistant Professors/Managers would be eligible for stay in three star hotels. Online booking of hotels well in time would again help in getting good deals and could be organized through the Coordinator (Transport and Logistics). Boarding expenses for all Faculty and senior Administrative staff would be subject to a ceiling of Rs 1500 (Taxes included) (Rs 1200 if breakfast included in hotel rates) on production of receipts. For all other staff this rate would be Rs 1200 (Rs 900 if breakfast included in hotel rates).

Fixed Incidentals: Fixed incidentals of Rs 250 per day (counted as every night stay out) would be applicable for all faculty and senior administrative staff. For all other staff, fixed incidentals would be at Rs 150 per day.

Exceptions: In case of accompanying foreign guest when the reimbursement is provided by the sponsoring agency or it is based on actuals higher entitlements may be availed of with prior permission of the Pro VC/VC. Any expenses incurred beyond the ceiling limit rules will have to be approved by the Pro VC/Vice Chancellor in a similar manner.

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## **5.2 Foreign Travel**

Outstation travel will be undertaken with prior approval of the Vice Chancellor. Foreign travel may be planned well in advance to ensure timely travel booking, visa and foreign exchange arrangements etc. Travel bookings in all cases may be made on-line. Foreign travel is to be approved by the Vice Chancellor.

### **5.2.1 Guidelines**

Foreign travel rules apply to all faculty members for performance of duty abroad. All foreign travel bookings are to be made through designated Travel agency/focal point. It is expected that all foreign travel will be supported by the organizing entity and per diem provided by them. Any additional support needed from the TERI University would have to be approved, a priori. In case travel is supported by the University or is taking place against a research budget, the general guideline is that travel would be on a least-cost basis. Boarding arrangements would be done by the University, in consultation with the faculty traveling. Lodging expenses of up to \$ 50 a day would be reimbursed against bills (Cost of cigarettes and alcohol would not be covered).

### **5.2.2 Foreign travel claim and settlement**

In case the University supports any part of the foreign travel, or such support forms part of a research project budget, then all expenses against such support will need to be filed with proper bills/receipts

### **5.2.3 Travel Expenses**

For journeys undertaken in connection with the work of the University, an employee will be entitled for reimbursement of actual expenses incurred on travel and boarding/lodging etc within the approved ceiling.

## **5.3 Local travel reimbursement**

### **5.3.1 Rules for the use of own vehicles for office use.**

Staff members using their own vehicle for official purpose will be reimbursed at the following rates:

- Car Rs.10 per km
- Motorcycle/Scooter Rs.6.00 per km

### **5.3.2 Tour outside Delhi**

Employees travelling outside Delhi state jurisdiction by his/her own vehicle with prior approval, can be reimbursed on the following basis:

- To and fro actual air fare/rail fare as admissible from Delhi to the airport/railway station nearest to the destination and back.
- In addition, usual kilo meterage rates admissible by TERI University from the nearest airport/railway station to the destination and back to the same airport/railway station.

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## **Chapter VI - Welfare Measures**

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### **6.1 List of Measures**

#### **6.1.1 House Rent Allowance**

Contractual employees are eligible for HRA (40% of the basic)

In the case where a house owner insists on TERI University lease, help is extended by TERI-University by entering into lease agreement with the house owner.

#### **6.1.2 Conveyance Allowance**

Employees receiving salary under UGC scale are eligible for Conveyance Allowance as per UGC/GoI rules (promulgated from time to time), which will be paid along with the salary.

#### **6.1.3 Lease Agreements**

TERI-University may enter into lease agreements with house owners to help its employees hire residential accommodation within a 5 km radius of the University. The rent applicable shall be governed by provisions of HRA rules of TERI-University as may be existing and changed from time to time by the Vice Chancellor. Wherever TERI University enters into lease agreement with any house owner, the concerned employee shall also execute a parallel agreement with TERI-University undertaking to comply with all the conditions that bind TERI-University consequent upon execution of the lease agreement and/or any other conditions that may be felt necessary.

In case where security deposit is paid to the house owner, it shall be the responsibility of the concerned employee to get such security deposit adjusted against rents towards the end of tenancy or gets refund of the deposit failing which the same shall be recovered from the concerned employee. Such adjustments shall be done with due intimation to and full knowledge of Accounts and Personnel Sections.

#### **6.1.4 Provident Fund (PF)**

Provident Fund as per PF Act/Rules would be applicable.

#### **6.1.5 Gratuity**

An employee with a minimum of 5 years of reckonable service in the University is entitled to gratuity benefits @ 1/2 month salary (drawn at the time of leaving the service) for each completed year of service. For the purpose of calculating the gratuity amount, 26 days service is reckoned as a month. Gratuity, however, may be forfeited under certain circumstances as applicable under the Gratuity Act.

#### **6.1.6 Health Insurance Cover**

Presently there are three health insurance schemes prevailing at TERI University. The details are given below:

## 1. Health Insurance Policy

Eligibility	Benefits
# All regular employees and their families # Short-term employees (employed for over six months) and their families  NOTE: When the staff member gets married or blessed with son/daughter, the name of the new dependent should be submitted within one month from the date of marriage/ delivery.  Names of dependents parents are to be declared at the beginning of the policy year (i.e, in the month of July). No addition of dependent parents would be allowed during the policy year.	# Domiciliary (non-hospitalization) Rs.3000 per person per annum # Dental Rs 600 per person per annum

## 2. Mediclaim policy

Eligibility	Benefits
# All regular employees and their families # short-term employees (employed for over six months) and their families	# Rs.2 Lakh per family with hospitalisation/ maternity benefit of Rs 50,000/- maximum (No prenatal/postnatal claims will be entertained)

Cashless service is available for hospitalization in the panel hospitals. For using this facility the staff member should provide information regarding expected hospitalization/maternity in advance. However, in case of emergency, information may be provided within 24 hours. In case of hospitalization, other than in the panel hospitals, normal procedure is to be followed. Please see below.

## 3. Medical Expenses Reimbursement at TERI University (MERT)

Eligibility	Benefits
# All regular employees	# Amount equivalent to one month basic* [OR] # Rs 15000* whichever is less

	* per financial year
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Premium sharing formula for both health insurance and Medi shield policy

Relationship with the staff member	Premium cost to be borne by TERI University	Premium cost to be borne by the staff member
Self	100%	NIL
Spouse	100%	NIL
First child	100%	NIL
Second child	100%	NIL
Third child onwards	50%	50%
Dependent father	25%	75%
Dependent mother	25%	75%

Documents required to be attached with the claim under the above three schemes are detailed below:

**1. Health Insurance Policy**

- Original prescription clearly indicating the diagnosis
- Chemist bills corresponding to the prescription
- Test reports and bills
- Consultation fee receipt
- Timeframe: claims are to be submitted within one month from the date of prescription

**2. Mediclaim policy**

- Bill, receipt and discharge certificate/card for the hospital
- Cash memos from the hospital chemist(s) supported by the proper prescription
- Certificate from the hospital indicating the registration number of the hospital and number of beds in the hospital
- Receipt and pathological test reports from a pathologist supported by the note from the attending medical practitioner/surgeon demanding such pathological tests



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- Surgeon's certificate stating nature of operation performed and surgeon's bill and receipt
  - Attending doctor's/consultant's/anesthetist's bill and receipt and certificate regarding diagnosis
  - Claim procedure and requirements.

An event which might become a claim under the policy must be reported to us as soon as possible, but not later than 7 days from the date of hospitalization/delivery. Thereafter the claim is to be submitted within 30 days from the date of discharge from the hospital.

### **3. Medical Expenses Reimbursement at TERI University (MERT)**

- Medical bills
- Prescription (if consultation fee is to be reimbursed)
- The unclaimed balances as on 31st March of each financial year would get lapsed.

## **6.2 Extra Time Allowance**

The extra time allowance for secretarial staff and drivers / attendants are as under :

Rate per hour

Secretarial Staff Rs. 60/-

Drivers/Attendants Rs. 45/-

The extra time allowance is admissible to those whose basic salary is not more than Rs 15000/- per month.

Note:- For others, working on holidays/week ends and on working days 2hrs before from the opening of office and 2hr after the closing time, conveyance charge on actual basis may be claimed.

## **6.3 Miscellaneous Claims**

In the discharge of official duties, during official tours, staff members will also be entitled to claim actual expenses incurred on official telephone calls etc.

Reimbursement claims should be supported by vouchers in respect of boarding, lodging, meals, conveyance and counterfoils or stubs of air tickets or railway receipts/tickets etc. in respect of travel, transport and other miscellaneous expenses, except in unusual circumstances. The limits of expenses for each level shall be promulgated by the Pro VC/VC.

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## **Chapter VII – Conduct Rules**

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### **7.1 Application**

The provisions shall apply to all Employees of the University.

### **7.2 General**

- Every Employee shall at all times maintain absolute integrity, financial probity and devotion to duty, and shall also be strictly honest and impartial in his/her official dealings.
- An Employee should, at all times, be courteous and respectful in his/her dealings with other members of the staff, students and members of the public.
- Unless otherwise stated specifically in the terms of appointment, every employee is a whole-time member of the University, and may be called upon to perform such duties as may be assigned to him/her by the competent authority, beyond scheduled working hours and on closed holidays and Saturdays/Sundays. These duties inter-alia shall include attendance at meetings of committees to which he/she may be appointed by the University.
- Except for valid reasons and/or unforeseen contingencies no Employee shall be absent from duty without prior permission.
- Whenever leaving the station, an employee shall inform the Head of the Department/Centre to which he is attached, or Vice Chancellor/Pro Vice Chancellor, if he is himself the Head of the department, the address where he/she would be available during the period of his/her absence from station.
- All employees will be expected to dress formally when on official duty.

### **7.3 Taking Part in Politics and Elections**

- No Employee shall take part in politics or be associated with any party or organization which takes part in political activity, nor shall he/she subscribe in aid or assist in any manner any political movement or activity.
- No employee shall canvas or otherwise interfere or use his/her influence in connection with or take part in any election to legislative body or local authority.

Provided that an employee of the University, qualified to vote at such election, may exercise his/her right to vote but where he/she does so, he/she shall give no indication of the manner in which he/she proposes to vote or has voted.

### **7.4 Connection with Press, TV or Radio**

- No Employee shall, except with the previous sanction of the competent authority, own wholly or in part, or conduct, or participate in the editing or managing of any newspaper or other periodical publications.

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- No Employee shall, except with the previous sanction of the competent authority or any other authority empowered by it in this behalf, or in the bonafide discharge of his/her duties, participate in a radio/TV broadcast or contribute any article or write any letter either anonymously or in his/her own name or in the name of any other person to any newspaper or periodical.

Provided that no such sanction shall be required if such broadcast or such contribution is of a purely literary, artistic or scientific nature.

Note: Subject to the restrictions noted below members of the staff are at liberty, without any sanction as contemplated in paragraph 5(2) above, to publish their original scientific works in journals of repute in India and abroad.

Such articles must be strictly confined to purely scientific subjects and related to the area of specialization of the Faculty members.

## **7.5 Criticism of the University and Colleagues**

No Employee shall, in any radio/TV broadcast or in any document published anonymously or in his/her own name or in the name of any other person or in any communication to the press or in any public utterance or to any stakeholder, make any statement of fact or opinion:

- which has the effect of an adverse criticism of any current or recent policy or action of the University or of colleagues therein; or
- which is capable of embarrassing the relations between the University and the Central Government or any State Government or any other Institution or Organization or members of the public.

Provided that nothing in this paragraph shall apply to any statement made or a view expressed by a faculty member in his/her official capacity or in due performance of the duties assigned to him/her.

## **7.6 Evidence before Committee or any other Authority**

- Save as provided in sub-paragraph (3) below, no faculty member shall, except with the previous sanction of the competent authority, give evidence in connection with any inquiry conducted by the person, committee or authority.
- Where any sanction has been accorded under sub-paragraph (1) no faculty member giving such evidence shall criticize the policy or any action of the University or the Central Government or any State Government.
- Nothing in this paragraph shall apply to :
  - evidence given at any inquiry before any authority appointed by the University.
  - evidence given in any judicial enquiry ; or
  - evidence given any departmental enquiry ordered by the University authorities.

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### **7.7 Unauthorized Communication of Information**

No Employee shall, except in accordance with any general or special order of the competent authority or in the performance in good faith of the duties assigned to him/her, communicate, directly or indirectly, any official document or information to any person to whom he/she is not authorized to communicate such document or information.

### **7.8 Gifts**

No Employee shall, except with the previous sanction of the competent authority, accept or permit his/her spouse or any other member of his/her family to accept from any person, other than a relation, any gift or more than trifling value. The interpretation of the term 'trifling value' shall be the same as laid down in the Government of India Central Services Conduct Rules (<http://dopt.gov.in/ccs-conduct-rules-1964>).

### **7.9 Private Trade Employment**

No Employee shall, except with the previous permission of the competent authority, engage directly, in any trade or business, consultancy or any private tuition or undertake any employment outside his/her official assignments.

Provided that the above restrictions shall not apply to academic work and Project work undertaken with the prior permission of the competent authority.

### **7.10 Investments, Lending & Borrowing**

No Employee shall lend money at interest to any person nor shall he/she borrow money from any person with whom he/she is likely to have official dealings.

### **7.11 Insolvency, Habitual Indebtedness and Criminal Proceedings**

- An Employee shall so manage his/her private affairs as to avoid habitual indebtedness or insolvency. When an employee is found liable to arrest for debt or has recourse to insolvency or when it is found that a moiety of his/her salary is continuously being attached, he may be liable to dismissal. A faculty member who becomes the subject of legal proceedings for insolvency shall forthwith report full facts to the University.
- An employee who gets involved in some criminal proceedings shall immediately inform the competent authority through the Head of the Department to which he is attached, irrespective of the fact whether he has been released on bail or not.

An employee who is detained in police custody whether on criminal charge or otherwise for a period longer than 8 hours shall not join his/her duties in the University unless he has obtained written permission to that effect from the Vice Chancellor/Registrar(Staff).

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## **7.12 Vindication of acts and character of Employees**

No employee shall, except with the previous sanction of the competent authority, have recourse to any court of law or to the press for the vindication of any official act which has been the subject matter of adverse criticism or an attack of defamatory character.

Provided nothing in this rule shall be deemed to prohibit a faculty member from vindicating his/her private character or any act done by him/her in his/her private capacity.

## **7.13 Marriages etc.**

No Employee who has spouse living shall contract another marriage without first obtaining the permission of the Board notwithstanding that a subsequent marriage is permissible under the personal and religious law for the time being applicable to him/her and violation of these rules will lead to immediate dismissal from the University service.

## **7.14 Representations**

- Whenever an employee wishes to put forth any claim, or seeks redress of any grievance or of any wrong done to him/her, he/she must forward his/her case through proper channel, and shall not forward such advance copies of his/her application to any higher authority, unless the lower authority has rejected the claim, or refused relief, or the disposal of the matter is delayed by more than three months.
- No faculty member shall be signatory to any joint representation addressed to the authorities for redress of any grievance or for any other matter.

## **7.15 Punishment, Appeals, etc.**

An employee shall be governed by the provisions of the relevant rules regarding imposition of penalties for breach of any of these rules, and preference of appeals against any such action taken against him/her.

## **7.16 Interpretation**

The decision of the Board on all questions relating to the interpretation of these provisions shall be final.

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## **Chapter VIII – Faculty: Academic Rights, Responsibilities &**

### **Discipline Procedures**

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#### **8.1 Preamble**

The TERI University aims to provide and sustain a world class academic environment conducive to creating, sharing, extending, and critically examining knowledge and values relating to sustainable development. For this, faculty members must have the freedom to pursue and teach the truth in accord with appropriate standards of scholarly inquiry. This Faculty Code of Conduct seeks to protect academic freedom, to help preserve the highest standards of teaching and scholarship, and to advance the mission of the University as an institution of higher learning.

Part I of this Code lays out the professional insights of the faculty while Part II elaborates on their responsibilities and standards of professional conduct. In Part II a clear distinction is made between statements of (1) ethical principles and (2) types of unacceptable behaviour.

The Ethical Principles are aspirational in character, and represent objectives toward which faculty members should strive. These encompass major concerns traditionally and currently important to the profession. The statements specifying Types of Unacceptable Faculty Conduct are non-exhaustive examples of types of unacceptable behaviour which are subject to University discipline because, they are not justified by the Ethical Principles and they significantly impair the University's core functions.

Disciplinary action may be initiated under this Code for any type of conduct which, although not specifically enumerated herein, meets the standard for unacceptable faculty behaviour set forth above.

Part III of this Code deals with the enforcement process applicable to unacceptable faculty behaviour. That process must meet basic standards of fairness and will reflect significant faculty involvement.

#### **8.2 Part I – Professional rights of faculty**

In support of the University's central functions as an institution of higher learning, a major responsibility of the administration is to protect and encourage the faculty in its teaching, learning, research, and public service. Such conditions include, for example:

- free inquiry, and exchange of ideas;
- the right to present controversial material relevant to a course of instruction;
- enjoyment of responsible freedom of expression; participation (in a representative manner) in the governance of the University, as provided in the Articles of Association of the University, including :

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- approval of course content and manner of instruction,
  - establishment of requirements for grant of degrees,
  - appointment and promotion of faculty,
  - selection of chairs of departments,
  - discipline of members of the faculty, and the formulation of rules and procedures for discipline of students,
  - establishment of norms for teaching responsibilities and for evaluation of both faculty and student achievement, and
  - determination of the forms of departmental governance;

### **8.3 Part II – Professional responsibilities, ethical principles, and unacceptable faculty conduct**

This listing of faculty responsibilities, ethical principles, and types of unacceptable behaviour is organized around the individual faculty member's relation to teaching and students, to scholarship, to the University, to colleagues, and to the community.

Section A through E below, indicate expected roles and ethical principles in various areas, and types of unacceptable conduct.

Other types of serious misconduct, not specifically enumerated therein, may nonetheless be the basis for disciplinary action.

#### **8.3.1 A. Teaching and students**

##### **Ethical principles**

“As teachers, the professors encourage the free pursuit of learning of their students. They hold before them the best scholarly standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counsellors. Professors make every reasonable effort to foster honest academic conduct and to assure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.” (AAUP Statement, 1966; Revised, 1987.) The integrity of the faculty-student relationship is the foundation of the University's educational mission. This relationship vests considerable trust in the faculty member, who, in turn, bears authority and accountability as mentor, educator, and evaluator. The unequal institutional power inherent in this relationship heightens the vulnerability of the student and the potential for coercion. In this section, the term student refers to all individuals under the academic supervision of faculty.

Types of unacceptable conduct:

- Failure to meet the responsibilities of instruction, including:
  - arbitrary denial of access to instruction;

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- significant intrusion of material unrelated to the course;
  - significant failure to adhere, without legitimate reason, to the rules of the faculty in the conduct of courses, to meet class, to keep office hours, or to hold examinations as scheduled;
  - evaluation of student work by criteria not directly reflective of course performance;
  - undue and unexcused delay in evaluating student work.
- Discrimination, including harassment, against a student on political grounds, or for reasons of caste, class, religion, sex, sexual orientation, gender identity, national origin, ancestry, marital status, pregnancy, physical or mental disability, or for other arbitrary or personal reasons
  - Use of the position or powers of a faculty member to coerce the judgment or conscience of a student or to cause harm to a student for arbitrary or personal reasons.
  - Participating in or deliberately abetting disruption, interference, or intimidation in the classroom.
  - Entering into a romantic or sexual relationship with any student for whom a faculty member has, or should reasonably expect to have in the future, academic responsibility (instructional, evaluative, or supervisory).

### **8.3.2 B. Scholarship**

#### **Ethical principles**

“Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty.” (AAUP Statement, 1966; Revised, 1987.)

A faculty member should reasonably expect to have academic responsibility (instructional, evaluative, or supervisory) for (1) students whose academic program will require them to enroll in a course taught by the faculty member, (2) students known to the faculty member to have an interest in an academic area within the faculty member’s academic expertise, or (3) any student for whom a faculty member must have academic responsibility (instructional, evaluative, or supervisory) in the pursuit of a degree.

Types of unacceptable conduct:

Violation of canons of intellectual honesty, such as research misconduct and/or intentional misappropriation of the writings, alterations to (agreed upon and understood) order of authors in research papers, research, and findings of others.



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### **8.3.3 C. The University**

#### **Ethical principles**

“As a member of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision”.

Types of unacceptable conduct:

- Intentional disruption of functions or activities sponsored or authorized by the University.
- Incitement of others to disobey University rules
- Unauthorized use of University resources or facilities on a significant scale for personal, commercial, political, or religious purposes.
- Discrimination, including harassment, against University employees on political grounds, or for reasons of caste, class, religion, sex, sexual orientation, gender identity, national origin, ancestry, marital status, pregnancy, physical or mental disability, or for other arbitrary or personal reasons.
- Serious violation of University policies governing the professional conduct of faculty, including but not limited to policies applying to research, outside professional activities, conflicts of commitment, clinical practices, violence in the workplace, and whistleblower protections.
- Receipt of personal payment for work done for an organization other than TERI University / TERI without prior sanction of the Registrar / Vice Chancellor.

### **8.3.4 D. Colleagues**

#### **Ethical principles**

“As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debts and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution”. (AAUP Statement, 1966; Revised, 1987.)

Types of unacceptable conduct:

- Making evaluations of the professional competence of faculty members by criteria not directly reflective of professional performance.
- Discrimination, including harassment, against faculty on political grounds, or for reasons of caste, class, color, religion, sex, sexual orientation, gender identity, national origin, ancestry, marital status, pregnancy, physical or mental disability or for other arbitrary or personal reasons
- Breach of established rules governing confidentiality in personnel procedures.

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### 8.3.5 E. The community

#### Ethical principles

“Faculty members have the same rights and obligations as all citizens. They are as free as other citizens to express their views and to participate in the political processes of the community. When they act or speak in their personal and private capacities, they should avoid deliberately creating the impression that they represent the University.” (U.C. Academic Council Statement, 1971.)

Types of unacceptable conduct :-

**Gross Misconduct.** The following is a list of offences, if committed by faculty, will be deemed to be construed as acts of Gross Misconduct

- Intentional misrepresentation of personal views as a statement of position of the University or any of its agencies. (An institutional affiliation appended to a faculty member’s name in a public statement or appearance is permissible, if used solely for purposes of identification.)
- Commission of a criminal act which has led to conviction in a court of law and which clearly demonstrates unfitness to continue as a member of the faculty.
- Theft /Fraud: Theft of any property belonging to the University or commits any act with intent to defraud, or to cause wrongful gain to one person or wrongful loss to another person.
- Financial Improbability: Misappropriation of the University’s Funds or makes false financial claims.
- Damage to property: Any deliberate act which causes serious damage/loss to the University’s property.
- Information/Data theft : Act that involves theft of the University’s electronic data/intellectual property or any unauthorized use of such stolen electronic data/intellectual property or release of confidential information for personal gain within or outside the University.
- Falsification: Making willful untrue statements in employment applications or in statements relating to qualifications; falsifying references and falsifying documents.
- Causing Injury: Carelessness or negligence or a willful act that causes or would likely to have caused serious physical injury to self, employer or a fellow employee.
- Insubordination: Showing a deliberate, willful, or purposeful refusal to follow the reasonable directions or instructions of the employer.
- Health and safety: Displaying continuous disregard for health and safety requirements and established precautions in a workplace or at work.
- Sexual harassment: An act which consists of unwanted sexual advances, requests for sexual favours, stalking and other visual, verbal or physical conduct of a sexual nature.

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- Misuse of Electronic communication: An act which involves serious misuse of the University's computer, email and internet systems, including accessing pornographic, offensive or obscene websites or distributing emails of such nature.
  - Immoral and indecent conduct: Engage in any indecent, insulting, immoral, or obscene conduct within the University's premises.

**Minor Misconduct.** It is generally seen as unbecoming conduct which must be dealt with, firmly and immediately, and will not warrant constitution of a Committee to deal with the case. However, if the faculty does not bring any changes to his / her conduct over a period of 6 months, despite the repeated warnings, the case will be recommended to the Committee of Deans ( CoD) and further necessary action. The following is a list of offences, if committed by an employee, will be deemed to be construed as acts of Minor Misconduct

- Unauthorized or excessive absence from duty: This involves unreasonable or unexplained absence from duty, without prior permission or he/she overstays leave granted to him/her without sufficient cause.
- Late coming: Habitually coming late to events/class /University work, even after being counselled and served reminders.
- Unsatisfactory performance at work: Continued unsatisfactory performance at work or poor productivity or failure to show desired improvements in work quality in spite of counselling.
- Personal appearance: Inappropriate personal appearance or failure to follow the laid down policy on dress code at the work place.
- Smoking: Smoking within the University premises.
- Alcohol/Drugs: Reporting to work under the influence of alcohol or drugs.

#### 8.4 Categories of disciplinary action

The penalties that can be inflicted on one or more of the grounds mentioned shall be the following and shall be classified into minor and major penalties,

##### (I) Minor Penalties:

- Disciplinary action less than termination of contract Disciplinary action up to but not including termination of contract may include written reprimands and censure, as defined in this document, or other forms of disciplinary action.
- Withdrawal of Allowances/Rewards. Disciplinary action may also include withdrawal of Allowance/Rewards , either in part, or in entirety Withholding of Increments

##### (II) Major Penalties:

- Reduction to a post in the lower pay-scale to a lower stage of increment in the faculty's own pay-scale.
- Termination of contract of a faculty member. The contract of a faculty member may be terminated when, in the judgment of the Board of Management, the

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good of the university requires such action. The grounds for termination of contract could include demonstrable professional incompetence, neglect of duty, insubordination, conviction of a felony or any offense involving moral turpitude upon a plea or verdict of guilty or following a plea of nolo contendere or sexual harassment or other conduct which falls below minimum standards of professional integrity. Provided :

- The faculty shall be given an opportunity to be heard. Termination of the contract will be with the due notice period and within the terms of the contract given to the faculty member.
- Non-renewal of a contract will not be regarded as a termination of the contract.
- A faculty member, whose termination of contract is contemplated, shall be given written notification as far in advance as possible of the contemplated effective date of termination of contract and the reasons thereof.

## **8.5 Part III - Procedure**

Faculty who fail to perform their responsibilities or who engage in unacceptable conduct should anticipate consequences in accordance with the suggested following procedures.

All instances of unacceptable conduct are first to be brought to the notice of the Registrar, in the form of a written complaint, who will then forward it to the Committee of Deans (CoD), who will, in consultation with the Head of Department, determine the severity of the breach of conduct and will decide to either deal with the issue informally (informal procedure) or formally (formal procedure). In deciding to deal with the issue informally, the Committee of Deans may decide, after going into the facts of the case, any one of the following.

- No action
- Oral reprimand
- Written reprimand

If the CoD decides, after going into the facts of the case, that the issue merits a formal procedure, he will forward the case to the Vice Chancellor. In the formal procedure, the Vice Chancellor shall convene the Faculty Conduct Committee (FCC) comprising of the following:

- VC
- Pro Vice Chancellor
- All Deans
- Registrar (Secretary)

The penalty awarded will be communicated to the concerned faculty member by the Registrar. If the penalty awarded involves termination of contract, the committee will forward its recommendation to the Chairman, Board of Management.

In both, the informal and formal procedures, hearing the parties concerned, studying the facts of the case and deciding on the penalty to be awarded, if any, is to be completed within 7 working days.

The Vice Chancellor may, at any time, take suo moto cognizance of a breach of code of conduct by a faculty member, without any complaint being lodged and convene a meeting of the Faculty Conduct Committee to deliberate upon the same.

## 8.6 Redressal

- For disciplinary action up to but not including termination of contract, a faculty member may file a written grievance of the disciplinary decision to the Vice Chancellor, not more than 10 calendar days from the date that the faculty member receives notice of the disciplinary decision. The VC shall review the grievance within no more than ten calendar days from the date that the grievance is received. The VC's decision is final.
- For disciplinary action that includes termination of contract, a faculty member may file a written grievance with the Chairperson, Board of Management. The Chairperson shall proceed subject to the following: (1) the hearing shall begin no later than 20 calendar days from the date that the grievance is filed with the Chairperson; and (2) the Appellate Committee constituted by BoM will give his decision within 10 calendar days from the date of the hearing.

## 8.7 Schedule

Ser No	Description of posts	Appointing Authority	Authority competent to impose penalties (minor/ major)	Appellate Authority
1.	All Faculty	Board of Management	(i) Vice Chancellor  (ii) BoM	BoM  Appellate Committee Constituted by BoM

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## Chapter IX – Staff: Discipline Rules

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### 9.1 Unacceptable conduct

**9.1.1 Gross Misconduct** – The following is a list of offences, if committed by an staff , will be deemed to be construed as acts of Gross Misconduct:-

- **Theft /Fraud:** Theft of any property belonging to the University or commits any act with intent to defraud, or to cause wrongful gain to one person or wrongful loss to another person.
- **Financial Improbability:** Misappropriation of the University's Funds or makes false financial claims.
- **Damage to property:** Any deliberate act which causes serious damage/loss to the University's property.
- **Information/Data theft :** Act that involves theft of the University's electronic data/intellectual property or any unauthorized use of such stolen electronic data/intellectual property or release of confidential information for personal gain within or outside the University.
- **Falsification:** Making willful untrue statements in employment applications or in statements relating to qualifications; falsifying references and falsifying documents.
- **Causing Injury:** Carelessness or negligence or a willful act that causes or would likely to have caused serious physical injury to self, employer or a fellow employee.
- **Insubordination:** Showing a deliberate, willful, or purposeful refusal to follow the reasonable directions or instructions of the employer.
- **Health and safety:** Displaying continuous disregard for health and safety requirements and established precautions in a workplace or at work.
- **Sexual harassment:** An act which consists of unwanted sexual advances, requests for sexual favours, stalking and other visual, verbal or physical conduct of a sexual nature.
- **Misuse of Electronic communication:** An act which involves serious misuse of the University's computer, email and internet systems, including accessing pornographic, offensive or obscene websites or distributing emails of such nature.
- **Immoral and indecent conduct:** Engage in any indecent, insulting, immoral, or obscene conduct within the University's premises.

#### 9.1.2 Minor Misconduct

It is generally seen as unbecoming conduct which must be dealt with, firmly and immediately, and will not warrant constitution of a Committee to deal with the case.

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However, if the staff does not bring any changes to his / her conduct over a period of 6 months, despite the repeated warnings, the case will be recommended to the Disciplinary Committee for investigation and further necessary action. The following is a list of offences, if committed by an staff, will be deemed to be construed as acts of Minor Misconduct

- Unauthorized or excessive absence from duty: This involves unreasonable or unexplained absence from duty, without prior permission, by an employee or he / she overstays leave granted to him / her without sufficient cause.
- Late coming: Habitually coming late to office, even after being counselled and served reminders.
- Unsatisfactory performance at work: Continued unsatisfactory performance at work or poor productivity or failure to show desired improvements in work quality in spite of counselling.
- Personal appearance: Inappropriate personal appearance or failure to follow the laid down policy on dress code at the work place.
- Smoking: Smoking within the University premises.
- Alcohol/Drugs: Reporting to work under the influence of alcohol or drugs.
- Discrimination, Work Place Harassment: Treating, or proposing to treat someone unfavourably/ or exhibiting biased conduct ; targeting a person's character/traits/ allegiance which is protected by law such as gender, age, religion, race, caste or disability.

## **9.2 Disciplinary Procedure**

**9.2.1** The procedure is designed to inquire and investigate correct facts, firmly and quickly, pertaining to disciplinary issues. Disciplinary action will be taken only after thorough investigation and inquiry into the entire facts, circumstances of the case and after due consideration of all these.

**9.2.2** A Disciplinary Committee will be constituted to investigate any breach of discipline involving a Staff of the University, forward its findings and recommendations for further disposal of the case. The composition of the Disciplinary Committee would be as under:

**(a) Presiding Officer**

To be nominated by the Registrar

**(b) Members**

(i) Section-in-Charge - 01

(ii) Admin Section - 01

(c) Two nominated members (in case the complainant or the accused is a lady there will be minimum of two lady members)

**9.2.2.1** The Convening Authority for constituting the Disciplinary Committee will be the Registrar, TERI University

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- 9.2.2.2** The Registrar will have the Summary Powers to award disciplinary punishment for acts of indiscipline by the staff based on the recommendations of the Disciplinary Committee.

### **9.3 Punishments**

Broadly the principle of ‘corrective and not punitive’ action will be applied when considering awarding of punishments. Suggested guidelines to be considered while awarding punishments for all acts of indiscipline committed by the staff for Gross and Minor Misconduct are as follows:-.

**9.3.1** For Gross Misconduct. If an staff is found guilty of any act of gross misconduct or as a result of conviction for any criminal offence by a court, which has a bearing on, or affects the employment of the individual, he / she may be awarded any of the following punishments based on the nature of gross misconduct, findings and recommendations of the Disciplinary Committee to the Registrar.

- Termination of Service without warning and without payment in lieu of notice and forfeiture of superannuation benefits.
- Fines making good the loss owing to misappropriation/loss/damage of equipment.
- Withholding of annual increment in salary and allowances.
- Demotion to a lower grade in the University.

**9.3.2** Minor Misconduct. If a staff is found guilty of any act of indiscipline of minor misconduct he/she may be awarded any of the following punishments based on the nature of minor misconduct, findings and recommendations of the Disciplinary Committee to the Registrar.

- **Verbal Warning.** A verbal warning by the Registrar will be the first stage in the procedure. This will set out steps that need to be taken to improve the staff’s behaviour or work performance together with any training to be provided and a date for review. The verbal warning so given is to be noted as “having been verbally warned” and placed in the staff’s personnel file along with the statement made by the staff held with the Registrar Office.
- **Written Warning.** If the staff fails to reach the required standard after a verbal warning, within the agreed time period, he/she would be issued a written warning. A copy of the warning will be kept in the staff’s personal file.
- **Final Warning.** If the required standard of conduct or performance is still not achieved a final written warning, that dismissal will result if there is no improvement within the required time period, will be issued. A copy of the warning will be kept in the staff’s personal file.
- **Other punishment.** If even after the requisite warnings the staff does not bring about change in his / her conduct over a period of 6 months,



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he / she shall be recommended to the disciplinary committee for investigation and further necessary action.

#### **9.4 Right to Appeal**

The rights to appeal shall be available to the affected staff and same shall be vested with the Registrar in the first stage and with the Vice Chancellor in the second stage, whose order shall be final.

#### **9.5 Process**

- 9.5.1** Any act of indiscipline reported or observed will be immediately brought to the notice of the immediate superior in the Area of the staff involved in the act.
- 9.5.2** Such superior could be the Section in Charge of the concerned Division, as the situation may warrant.
- 9.5.3** A preliminary investigation to ascertain whether the case merits further disciplinary action would be carried out by the Section in Charge.
- 9.5.4** If such an act of indiscipline falls in the category of Minor Misconduct, a sincere and concerted effort shall be made to resolve the reported act of indiscipline through the process of counseling and discussions failing which, it will be brought to the notice of the Registrar who will convene a Disciplinary Committee to investigate the case and forward its recommendations for further disposal in a time bound manner.
- 9.5.5** If the act falls in the category of Gross Misconduct the Disciplinary Committee will carry out a detailed investigation based on the findings of the Preliminary investigation. While carrying out the detailed investigation the under mentioned procedure will be followed:
- The process will involve Investigatory Interviews to establish whether disciplinary action is warranted.
  - The staff will be provided with details of the allegation(s) and an indication as to whether the alleged misconduct is considered as potentially a serious/gross misconduct case and therefore whether a sanction less than or up to dismissal may be considered.
  - The accused and witnesses will be examined; their statements would be reduced to writing which will be signed by them as correct.
  - The Disciplinary Committee will thereafter bring out the findings and give its recommendations to the Registrar for further necessary action based on the statement and examination of the witnesses.
- 9.5.6** At every stage the staff under investigation will have the opportunity to state his/her case.
- 9.5.7** The staff will have the right to appeal to the Registrar or higher against any disciplinary penalty imposed.

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## **Chapter X - Awards /Rewards/Honoraria**

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### **10.1 Role Related Reward (RRR)**

- 10.1.1** Role related rewards (RRR) are being instituted to recognise efforts put in by faculty members in academic administrative functions. Whilst appointments to major roles in the University are, by themselves, recognition of the capabilities of an individual to lead and contribute to the growth of the University, RRRs will be an acknowledgement of the work and efforts put in while in that role.
- 10.1.2** RRRs will be applicable to faculty members assigned to and working in the respective roles as on 30 June of each year and who have completed at least 6 months in that role. This will include those on deputation to the University.
- 10.1.3** For purposes of determining the RRR, the performance of the preceding year (year ending 30 June) will be considered.
- 10.1.4** The decision on RRR will be made in end July/early August each year.
- 10.1.5** RRR will be as follows:
- Rs 1 lakh for the position of Dean.
  - Heads of Department – Maximum of Rs 60,000/- (The reward would be based on performance judged through the Department’s research strategy and quality, quality of programme delivery (including time adherence), and optimal resource deployment and other such criteria).
  - Controller of Examinations – Maximum of Rs 60,000/- (The reward would be based on an evaluation by faculty and registrar on the conduct of all examinations, including at the time of admissions and other such criteria)
  - Programme coordinators – Maximum of Rs 30,000/- (The reward would be based on student feedback, quality and timeliness, and cost optimisation and other such criteria.)
- 10.1.6** These rewards will be applicable from academic year 2016-17 itself. Faculty will not be eligible for 2 RRRs

### **10.2 Outcome Linked Awards/Performance Linked Rewards (OLA/PLR)**

- 10.2.1** The system of outcome-linked awards (OLA) at the TERI University is being instituted to recognise outstanding contributions of faculty members and to signal the direction in which the University would like its faculty to strive. At the same time, the University would also like to reward exceptional achievements of faculty members, be they in terms of teaching, research or other contributions. In rewarding these exceptional achievements, the University would henceforth bear in mind that all faculty members in the University are expected to be of a high quality. As such, these rewards would only be given for achievements beyond normal expectations.
- 10.2.2** Outcome linked award (OLA) and Performance Linked Rewards (PLR) will be applicable to faculty members employed by and drawing salary from the

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University who are on the rolls on 30 June of each year and have completed at least 6 months of service at the University. This will include those on deputation to the University.

- 10.2.3** For purposes of determining the OLA/PLR, the performance of the preceding year (year ending 30 June) will be considered.
- 10.2.4** The decision on OLA/PLR will be made in end July/early August each year.
- 10.2.5** OLA will be as follows:
- Rs 5 lakhs for each approved patent where the affiliation is to the TERI University.
  - Rs 50,000/- for each category A<sup>3</sup> publication and a personal academic expenditure budget of Rs 25,000 to be spent by the awardee on any academic activity within a period of 2 year from the date of the grant (First Author)
  - “Faculty of the Year” awards of Rs 30,000/- each, based on all-round performance assessed on students’ feedback, pedagogical innovations, number of on-track Ph.D students, events organised, conferences attended with substantial roles, positive attitude and team spirit. Faculty members selected for this award would also be recognised on the University’s website and at a suitable place on the premises.
  - Rs 25,000/- for a minimum of 2 publications in non-category A international peer reviewed journals or their equivalent (recognised by first author; half weightage given to supervisor when first author is a student)
  - Rs 3,500/- per hour of recorded lectures (approved and with quality control) for online courses
- 10.2.6** In order to encourage interdisciplinary and collaborative research, the award/reward for publications would be increased by 10% for each additional author in the case of co-authored publications. The award/reward amounts would normally be equally shared between authors unless they mutually decide otherwise.
- 10.2.7** The award for publications in Category A journals/publications would be applicable only to publications from the faculty member’s own research and not from publications based on students work. However, the reward for publication in international peer reviewed journals would apply to the main supervisor for publications related to the work of PhD/Masters students as well, with weightage as specified above.
- 10.2.8** The ‘Faculty of the Year’ award may be given to more than one faculty member each year. However, a faculty member can earn this award only once

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<sup>3</sup> Category A Publications would be those publications that either appear in very high impact journals or demonstrate a high policy/implementation impact or have a high societal relevance.

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in 2 years. Faculty members would need to indicate in their appraisal forms if they would like to be considered for this award.

**10.2.9** A Jury comprising the VC and at least 2 members of the academic council would evaluate candidates for all academic awards. These awards would be bestowed on Teachers Day. The decisions of this Jury would be final.

**10.2.10** These awards/rewards will be applicable from academic year 2016

### **10.3 Sustainability Champion**

All faculty/employees would be eligible for this award which would recognize any innovations implemented to promote sustainability within or outside the campus, related to any operations or academic programmes. The Sustainability Champion would be recognized on the University's website, social media and would receive a certificate from the Chief Guest of the Convocation Ceremony in addition to a reward of Rs 10,000/-. The applications to be considered for this award would be judged by all faculty and staff of the University.

### **10.4 Honoraria for Faculty**

University faculty are permitted to retain full honorarium received by them for professional articles/papers/publications of books; lectures delivered; participation in expert committees or such like activities that recognize the expertise of a faculty member but does not compete with the revenue earning potential of the University, subject to the limit of expending not more than 10 working days a year for such paid activities for Assistant/Associate Professors and 15 working days for Full Professors. Full information on such activities and honoraria will be submitted to the Registrar, for purposes of full disclosure. Failure to disclose will amount to wilful misconduct.

This permission does not apply for research/consultancy projects.

### **10.5 Outcome linked Reward for Staff**

**10.5.1** There will be a Reward called "Outstanding Services Award". Three candidates nominated by Registrar and Managers will be put to Voting by the staff members. The candidate pulling highest number of votes shall be entitled for a Cash Award of Rs 25000/- and a citation.

**10.5.2** The awardee shall not be eligible for nomination for next 02 years.

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## **Chapter XI – Deputation**

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### **11.1 General terms for deputation of employees between TERI and TERI University**

- 11.1.1** Mode of deputation: Employees desirous/willing to be on deputation shall express in writing to the competent authority of the parent/lending organization indicating his/her intention to proceed on deputation. Upon approval by the competent authority, the parent organization shall intimate the borrowing organization about the approval of deputation, and date of commencement of deputation shall be communicated by the parent organization under intimation to the employee who is proceeding on deputation. Organization wanting to invite identified professional(s) on deputation may initiate a request seeking such deputation. This request could then be considered by the competent authority at the parent/lending organization.
- 11.1.2** Tenure: The tenure of deputation shall be generally for a period of 5 years, but may be decided on need basis as would be approved by the competent authority at TERI.
- 11.1.3** Working Hours/Working days: Employees on deputation shall observe working hours/working days as per the rules of TERI University.
- 11.1.4** Emoluments: Employees on deputation to TERI University shall draw salary and benefits from TERI University. The salary and benefits shall be provided by the University as per the structure/grade as are provided by TERI. TERI University shall contribute to the Provident Fund, Superannuation fund and/or any other fund/scheme of which the employee has been a member while at TERI. Employees on deputation from TERI shall not be entitled to DA/DP or any change in emoluments as may be announced by the government/TERI University and are applied to other employees of TERI University. Faculty of TERI University on deputation to TERI shall continue to receive emoluments in the structure and pay scale as were being paid by TERI University and shall be entitled to DA/DP or any change in emoluments as may be announced by the government and are applied to other employees of the University governed by UGC norms. TERI may, at its discretion, pay any additional benefits as may be approved by the competent authority at TERI.
- 11.1.5** Change in emoluments: Change in emoluments effected for employees of TERI University shall be effected in the case of employees on deputation as may be communicated by TERI to TERI University from time to time.
- 11.1.6** Medical Insurance: The employees on deputation to TERI University shall continue to be covered under the medical insurance initiated by TERI. The medical insurance claims of employees on deputation shall be processed by TERI University and claims sought from the concerned agency as per the norms of the insurance policy in force.
- 11.1.7** Personal Accident Insurance: Employees of TERI who are eligible for personal accident benefits as per terms of his/her employment at TERI shall

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continue to be entitled to the same, and TERI University shall pay the premium to TERI to ensure continuance of the coverage in the Insurance scheme.

- 11.1.8** Leave Travel Concession: Employees on deputation to TERI University shall be governed by the provision of the LTC rules of TERI, and TERI University shall provide LTC benefits to such employees as are applicable to them while at TERI. A status report on LTC availed and due may be provided by TERI University to TERI on annual basis or as may be required by TERI from time to time.
- 11.1.9** Leave/Attendance: TERI University shall maintain attendance and leave account of employees on deputation from TERI. TERI University shall consider such leave records for regulating the salary and benefits payable to employees on deputation. A summary of the attendance and leave record shall be provided by TERI University to TERI on annual basis and as may be required by TERI.
- 11.1.10** Public Holidays: Public Holidays as observed by TERI University shall be observed by employees on deputation from TERI.
- 11.1.11** Appraisal: Employees on deputation to TERI University shall follow the appraisal system of TERI University. Each employee on deputation shall have at least one annual confidential report in file for each year of deputation, and the ACRs shall be made available to TERI at the end of deputation or as may be required by TERI before reversion of deputation. Outcome of the annual appraisal shall be communicated by TERI University to TERI on annual basis in a prescribed format as would be provided by TERI.
- 11.1.12** Leased accommodation: Employees on deputation to TERI University who are eligible for leased accommodation as per terms of their employment at TERI, shall be permitted by TERI University to avail of accommodation on personal lease or official lease of TERI University. The employee on deputation may be given choice to opt TERI rule or TERI University rule in this regard.
- 11.1.13** Loans/Advances: In case the employee proceeding on deputation has availed loan/advance from TERI, the deduction on account of such loan/advance shall be effected by TERI University from the emolument of the concerned employee and remitted to TERI on monthly basis as would be intimated by TERI to TERI University. Employees, after moving on deputation to TERI University, may avail loan/advance as per rules of TERI University.
- 11.1.14** Resignations/Terminations: In the event an employee on deputation to TERI University resigns while on deputation, he/she shall be liable to comply with the contractual obligations in terms of his/her employment contract with TERI. For the purpose of discharge of notice liability, the date of submission of resignation at TERI shall be considered as the date of commencement of notice period. Obligation/liability of the employee, if any, towards TERI University on account of the University rules, shall be settled between the employee and the University.

## **11.2 General terms applicable to other deputationists**

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- 11.2.1** TERI University may enroll officers from Central/State Government/Industry on deputation with mutual consent.
- 11.2.2** The period of deputation shall be mutually decided and would be broadly based on the duration of the project for which such deputation is sought.
- 11.2.3** Joining time. From the date of taking over charge of the post in the University and terminate on the date of handing over charge of post from TERI University. Joining time as per Government of India rules will be applicable.
- 11.2.4** Provident Fund. The University will deduct the Provident Fund as per the rules of his parent office and remit to the appropriate government authority of his parent organisation
- 11.2.5** Leave salary & pension scheme. The University will pay to the Government, leave salary and pension contribution at the rates in force from time to time in accordance with the orders of the State Govt. The leave salary and pension contribution will be made on notification received from the State Govt.
- 11.2.6** Medical facility. TERI University has got Medical Insurance Scheme which can be extended to the official, in case he prefers to be covered by the TERI Medical Insurance Rules. Alternatively, he can avail any medical scheme offered to him by Central Govt. if prevalent in Delhi. He may specify his option.
- 11.2.7** Central Govt. employee group insurance scheme. In case the official is a member of CGEGIS scheme, the respective amount will be deducted from his salary from the month of his taking over charge in the University till end of deputation and the same would be remitted to the State Govt.
- 11.2.8** Leave Travel Concession  
Deputationist will have the option either to be covered by the LTC of his parent organisation or that admissible to the corresponding employee of the Institute. He may, specify his option
- 11.2.9** House rent allowance  
In case the official is staying in own accommodation, HRA equivalent to 40% of the salary (basic + DA) shall be admissible. In case the official is staying in Govt. accommodation, no HRA shall be admissible. Rules regarding license fee shall apply.  
Alternatively, the official shall be entitled to rented residential accommodation of a maximum rent of 80% of the salary (basic + DA) subject to a maximum of Rs.8925.00 per month. The official may hire suitable accommodation on TERI lease or personal lease in Delhi or adjoining areas within the stated ceiling. The official shall contribute towards house rent, the license fee equivalent to 10% of the basic in case of unfurnished accommodation or 12% in case of furnished accommodation.
- 11.2.10** Retention of accommodation beyond deputation period The official shall vacate the leased accommodation provided to him/her by TERI University upon ceasing to be on deputation with the University. In case for any reason,

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retention of accommodation beyond the period of deputation is sought by the official, and allowed by the University, for a maximum extended period of two months after the date of cessation of deputation, full rent and electricity/water charges for the period will be payable by the employee for the extended period. However, no extension of retention beyond two months will be allowed under any circumstances.

#### **11.2.11 Telephone facility**

Telephone facility at the residence of the official shall be provided by TERI University for official use only depending on availability of MTNL line. Personal long distance call-charges shall be paid for by the official. The reimbursement of telephone bills will be made in accordance with TERI University rules. Use of telephone facility beyond the period of deputation is not extended to the employee. Telephone extension will be provided at the office. Upon relinquishing the offices by the deputationist the official telephone if provided by TERI University shall be disconnected as on the date of relinquishment

#### **11.2.12 Transfer TA**

Transfer TA as per Central Govt. rules shall be admissible at the time of joining as well as on leaving and joining back the parent cadre in India. In case the Officer after joining on deputation wishes to avail of TERI University lease accommodation, assistance could be rendered in finding out suitable accommodation and entering into lease agreement provided the Officer makes such a request so as to ensure that the accommodation is available when he with his family moves to Delhi. In case TERI University is unable to provide/locate suitable accommodation and it becomes necessary for the Officer to move to Delhi without accommodation being provided, the Officer may make a second trip to the location of the parent office to bring his family. In such a situation the Officer shall seek prior approval from TERI University to incur the expenditure for a second trip in order to be eligible for reimbursement of such expenses. In case the employee is posted abroad on cessation of deputation he would be paid TA up to the place of choice within his cadre state on production of relevant receipts.

#### **11.2.13 Leave rules & Encashment**

Leave rules and leave encashment rules shall be as applicable to regular TERI University employees

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## **Chapter XII - TERI University Policy on Equality, Diversity and Inclusion, 2015**

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(TU/BM 19.4.1 (e) 12 Feb 16)

### **12.1 Preamble**

The TERI University is committed to being inclusive, as a diverse population of students, faculty and staff from different religions, castes, cultures, physical abilities and country, are its greatest strengths. In order to ensure everyone can thrive and meet their full potential, it is essential that inclusion and equality of opportunity be at the core of all the activities of the University. The TERI University commits to facilitate an environment of non-discrimination as envisaged under the Constitution of India and various laws passed by the Parliament aimed at eliminating discrimination.

### **12.2 Scope**

This policy will be called “Policy on Equality, Diversity and Inclusion,2015” and shall be applicable to the faculty, students, staff, potential employees, service users, contract workers, volunteers, visitors, as well as Board of Management and the Academic Council. The University is committed to a zero tolerance policy in relation to discrimination on the basis of race, caste, ethnicity, accent, nationality, gender, marital status, disability, religion or belief, sexual orientation, age or any other irrelevant factor. This policy and procedure applies equally to all aspects of the activity including recruitment & selection, promotion, the teaching/learning process, dignity at work, grievances, sickness & absence, conduct, terms & condition of service and reasons for termination, student selection process, admission process, the evaluation process, the grading process and any other student centric processes at the University.

### **12.3 Definition – Equality, Diversity and Inclusion**

Equality, Diversity and Inclusion include any one or more of the following:-

- Equality is about creating a fairer community where everyone can participate and has the same opportunity to fulfil their potential.
- (b) Diversity acknowledges and values the full range of differences between people both in the University and in wider society.
- (c) Inclusion refers to an individual’s experience within the University and the extent to which they feel valued and included.

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## 12.4 Equality Advisory Committee (EAC)

- (a) Members : The Vice Chancellor shall constitute an Equality Advisory Committee (EAC) comprising of the following:
- i. Dean Academic – Presiding Officer
  - ii. One member from faculty and one student member from minority/disadvantaged group (Gender Champion, to be selected by Presiding Officer) on rotation basis every two years (on 01 August of the academic year).
  - iii. One international student – Member
  - iv. Additional General Manager (admin services), Member Secretary
- (b) Any office bearer of the EAC would be removed by the Vice Chancellor in the following circumstances:-
- i. If an inquiry against the office bearer is initiated.
  - ii. If the office bearer is convicted for any offence.
  - v. On dismissal/resignation/withdrawal of the office bearer from the TERI University.
- (c) The EAC shall meet at least once in every four months and function from the office or the Presiding Officer.
- (d) Complaint: Any member of TERI University who feels unfairly treated or subjected to direct or indirect discrimination can raise the matter through the EAC. There will be no victimisation of any employee or student for making or supporting or assisting a complaint of harassment, bullying or discrimination, even if the complaint is not upheld. However, if a complaint is shown to be untrue and has been brought in bad faith (e.g. maliciously or as an act of spite) disciplinary action will be taken in accordance with the terms & conditions of the policy. All complaints of bullying and harassment will be treated seriously and shall be investigated for appropriate action.
- (e) Roles and Responsibilities of EAC:-
- i. Consult with the University administration to promote and champion equality, diversity and inclusion and prevent unlawful discrimination within the premises of the TERI University.
  - ii. Ensure commitment of the TERI University to equality, diversity and inclusion is communicated to all faculty/employees/students fairly and responsibly.
  - iii. Ensure that all members of the TERI University share responsibility for promoting equality, diversity and inclusion and ensure that this policy is implemented in practice.
  - iv. Create a socially congenial atmosphere for academic interaction and for the growth of healthy interpersonal relationship among the students coming from various social backgrounds.

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- v. Make efforts to sensitize the academic community regarding the problems associated with social exclusion as well as aspirations of the marginalized communities.
  - vi. Create awareness about equality and deal with breaches of this policy and recommend suitable action on the same.
  - vii. Oversee/monitor various welfare schemes/programmes sponsored by the Government of India/State Government, UGC or any agency/organisation as well as those devised by the college/affiliating university for the disadvantaged groups for their effective implementation.
  - viii. Recommend cases of serious nature to Grievance redressal.
  - ix. Record and report to the Vice Chancellor (through the Admin Office) all instances of discrimination categorised as an offence under any law present by State following established procedures and guidelines.

**12.5 All Members of the TERI University Shall :-**

- (a) Lead by example and champion equality, diversity and inclusion across the University and externally.
- (b) Treat people in accordance with the vision and values of this Policy. Be aware of their responsibilities and report inappropriate behavior (s) and raise any incident(s) that breach the dignity at work.
- (c) Familiarise with this Policy and procedures and ensure that practices are consistent with its content and legislation.
- (d) Be responsible and foster good relations with all.

**12.6 Administrative Section Shall :-**

- (a) Ensure that the Equality, Diversity and Inclusion Policy and procedures are updated.
- (b) Make available Equality Monitoring Reports (EMR) from the EAC once in an academic year, which will be used to identify any potential barriers in relation to campus environment, admission, recruitment, selection, education and learning and career development.
- (c) Ensure that all University policies and procedures are equality impact assessed.

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## **Chapter XIII- TERI University Policy on Prevention, Prohibition and Redressal of Sexual Harassment of Women Employees and Students – 2016**

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### **14.1 Preamble**

The TERI University is committed to creating and maintaining a gender-sensitive and congenial democratic working environment in which students, teachers and non-teaching staff can work together in a community free of all forms of gender violence, sexual harassment and discrimination on the basis of sex/gender. Every member of the University should be aware that while the University is committed to the right to freedom of expression and association, it strongly supports gender equality and opposes any form of gender discrimination and violence. Article 16 of the Constitution of India declares “There shall be equality of opportunity for all citizens in matters relating to employment or appointment to any office under the State.” In keeping with the spirit of the Constitution, the Government of India ratified the United Nations Convention on Elimination of All Forms of Discrimination against Women on 25 Jun 93. Subsequently, the Indian Parliament enacted The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013 (Herein after referred to as Act). In pursuance to the above directive, the TERI University, New Delhi has decided to formulate the policy and guidelines to deal with the problem and cases of sexual harassment.

### **14.2 Scope**

These rules may be called the TERI University Policy on Prevention , prohibition and redressal of sexual harassment of Women Employees and Students – 2016.

These rules shall be applicable to all complaints of sexual harassment made by any woman member of the TERI University and students (any person on the rolls of TERI University including temporary, part-time or honorary employees by whatever name called and would include persons engaged on a casual or a project basis and also those engaged through a contractor, students and campus residents).

These Rules shall be applicable to sexual harassment taking place within the TERI University campus, hostels, any place visited by the employee or the student as part of official/study work including study trips provided by the TERI University.

### **14.3 Definition - Sexual Harassment**

- a. Aggrieved woman means in relation to work place, a woman of any age whether employed or not, who alleges to have been subjected to any act of sexual harassment by the respondent:

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- b. Act means the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013 (14 of 2013):
- c. Campus means the location or the land on which TERI University and its related institutional facilities like libraries, laboratories, lecture halls, residences, halls, toilets, student centres, hostel, dining hall, parking areas, parks-like settings and other amenities like health centres, canteens, etc. are situated and also includes extended campus and covers within its scope places visited as a student of TERI University including transportation provided for the purpose of commuting to and from the University, the locations outside the University on field trips, internships, study tours, excursions, short-term placements, places used for camps, cultural festivals, sports meets and such other activities where a person is participating in the capacity of an employee or a student of the University:
- d. Commission, means the University Grants Commission established under section 4 of the University Grants Commission Act, 1956 (3 of 1956).
- e. **“Covered individuals”** are persons who have engaged in protected activity such as filing a sexual harassment charge, or who are closely associated with an individual who has engaged in protected activity and such person can be an employee or a fellow student or guardian of the offended person.
- f. **“Employee”** means a person as defined in the Act and also includes, for the purposes of these Regulations trainee, apprentice (or called by any other name), interns, volunteers, teacher assistants, research assistants, whether employed or not, including those involved in field studies, projects, short-visits and camps.
- g. **“Internal Complaints Committee”** (ICC) means Internal Complaints Committee to be constituted as required for ICC under these regulations. Provided further that such a body shall be bound by the provisions of these regulations;
- h. **“Protected Activity”** includes reasonable opposition to a practice believed to violate sexual harassment laws on behalf of oneself or others such as participation in sexual harassment proceedings, cooperating with an internal investigation or alleged sexual harassment practices or acting as a witness in an investigation by an outside agency or in litigation.
- i. **“Student”** means a person duly admitted and pursuing a programme of study either through regular mode or distance mode, including short-term training programmes;

Provided that a student who is in the process of taking admission in TERI University campus, although not yet admitted, shall be treated, for the purposes of these regulations, as a student of that University, where any incident of sexual harassment takes place against such student;

Provided that a student who is a participant in any of the activities in the University other than the Institution where such student is enrolled shall be treated, for the purposes of these regulations, as a student of the TERI University where if any incident of sexual harassment takes place against such student;

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- j. “Third Party Harassment” refers to a situation where sexual harassment occurs as a result of an act or omission by any third party or outsider, who is not an employee or a student of the TERI University, but a visitor to the TERI University in some other capacity or for some other purpose or reason;
- k. “Victimisation” means any unfavourable treatment meted out to a person with an implicit or explicit intention to obtain sexual favour;
- l. “Workplace” means the campus of TERI University including;
- Any department, organisation, undertaking, establishment, enterprise, institution, office, branch or unit which is established owned, controlled or wholly or subsequently financed by funds provided directly or indirectly by TERI University;
  - Any sports institute, stadium, sports complex or competition or games venue, whether residential or not used for training, sports or other activities relating thereof in TERI University;
  - Any place visited by the employee or student arising out of or during the course of employment or study including transportation provided by the Vice Chancellor for undertaking such journey for study in TERI University.

**m. Sexual Harassment.**

- “An unwanted conduct with sexual undertones if it occurs or which is persistent and which demeans, humiliates or creates a hostile and intimidating environment or is calculated to induce submission by actual or threatened adverse consequences and includes any one or more or all of the following unwelcome acts or behaviour (whether directly or by implication), namely :-
  - i. Any unwelcome physical, verbal or non-verbal conduct of sexual nature;
  - ii. Demand or request for sexual favours;
  - iii. Making sexually coloured remarks
  - iv. Physical contact and advances; or
  - v. Showing pornography
- Any one (or more than one or all) of the following circumstances, if it occurs or is present in relation or connected with any behaviour that has explicit or implicit sexual undertones-
  - i. Implied or explicit promise of preferential treatment as quid pro quo for sexual favours;
  - ii. Implied or explicit threat of detrimental treatment in the conduct of work
  - iii. Implied or explicit threat about the present or future status of the person concerned
  - iv. Creating an intimidating offensive or hostile learning environment;

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- v. Humiliating treatment likely to affect the health, safety dignity or physical integrity of the person concerned;

## **14.4 Procedure for Handling of Sexual Harassment Cases**

### **Constitution of ICC**

The Vice Chancellor, by an order (format placed at Annexure 1.1) in writing shall constitute a Committee to be known as the “Internal Complaints Committee (ICC)”.

The committee will consist of following:-

- a. A Presiding Officer who shall be a woman faculty member employed at a senior level (Professor), Provided that in case of a senior level woman employee is not available, the Presiding Officer shall be nominated from other offices or administrative units of the workplace; Provided further that in case the other offices or administrative units of the workplace do not have a senior level woman employee, the Presiding Offer shall be nominated from any other workplace of the same employer or other department or organization;”
- b. two faculty members and two non-teaching employees, preferably committed to the cause of women or who have had experience in social work or have legal knowledge, nominated by the Executive authority.
- c. Three students, if the matter involves students, who shall be enrolled at the, master’s and research scholar levels respectively, elected through transparent democratic procedure;
- d. One member from amongst non-government organisations or associations committed to the cause of women or a person familiar with the issues relating to sexual harassment, nominated by the Executive Authority.
- e. At least one-half of the total members of the ICC shall be women
- f. Persons in senior administrative positions in TERI University, such as Vice Chancellor, Pro Vice Chancellors, Registrar, Deans, Heads of Department, etc. shall not be members of ICCs in order to ensure autonomy of its functioning.
- g. The term of office of the members of the ICC shall be for a period of three years. A system to be put in place whereby one third of the members of the ICC may change every year.
- h. The Member appointed from amongst the non-governmental organisations or associations shall be paid such fees or allowances for holding the proceedings of the Internal Committee, as may be prescribed,

Where the Presiding Officer or any member of the Internal Committee;

- contravenes the provisions of section 16 of the Act, or
- has been convicted for an offence or an inquiry into an offence under any law for the time being in force ins pending against him; or
- He has been found guilty in any disciplinary proceedings or a disciplinary proceedings is pending against him; or
- Has so abused his position as to render his continuance in office prejudicial to the public interest.

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Such Presiding Officer or Member , as the case may be, shall be removed from the Committee and the vacancy so created or any casual vacancy shall be filled by fresh nomination in accordance with the provisions of this section.”

The ICC shall function from the office of its Presiding Officer.

The ICC shall create awareness about sexual harassment amongst its employees/students. It will help deal with and recommend punishment for non-consensual acts of sexual harassment. Members are expected to be sensitive to the issue and not let personal biases and prejudices and stereotypes affect their functioning as members of the ICC.

## **14.5 Complaint**

The ICC shall comply with the procedure prescribed in these Regulations and the Act, for making a complaint in a time bound manner.

- a. An aggrieved person is required to submit a written complaint to the ICC within three months from the date of the incident and in case of a series of incidents within a period of three months from the date of the last incident.
- b. Provided further that the ICC may for the reasons to be accorded in the Presiding Officer or any Member of the Internal Complaints Committee shall render all reasonable assistance to the person for making the complaint in writing.
- c. Provided further that the ICC may for the reasons to be accorded in the writing, extend the time limit not exceeding three months, if it is satisfied that the circumstances were such which prevented the person from filing a complaint within the said period.:
- d. Friends, relatives, colleagues co-students, psychologist or any other associate of the victim may file the complaint in situations where the aggrieved person is unable to make a complaint on account of physical or mental incapacity or death.

The University shall develop a page in the website on the procedures of lodging complaint.

## **14.6 Duties of ICC**

Administrative (in liaison with University Admin);

- a. Publicly notify the provisions against sexual harassment and ensure their wide dissemination;
- b. Organise training programmes or as the case may be, workplace for the officers, functionaries, faculty and students, as indicated in the SAKSHAM Report (Measures for ensuring the Safety of Women and Programmes for Gender Sensitizations on Campuses) of the Commission, to sensitize them and ensure knowledge and awareness of the rights, entitlements and responsibilities enshrined in the Act and under these regulations;
- c. Act decisively against all gender based violence perpetrated against employees and students of all sexes recognising that primarily women employee and



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students and some male students and student of the third gender are vulnerable to many forms of sexual harassment and humiliation and exploitation;

- d. Commit itself to a zero tolerance policy towards sexual harassment;
- e. Reinforce its commitment to creating TERI University campus free from discrimination, harassment, retaliation or sexual assault at all levels;
- f. Create awareness about what constitutes sexual harassment including hostile environment harassment and quid pro quo harassment;
- g. Include in its prospectus and display prominently at conspicuous places or Notice Boards the penalty and consequences of sexual harassment and make all sections of the institutional community aware of the information on the mechanism put in place for redressal of complaints pertaining to sexual harassment, contact details of members of Internal Complaints Committee, complaints procedure and so on.
- h. Inform employees and students of the recourse available to them if they are victims of sexual harassment.
- i. Organise regular orientation or training programmes for the members of the ICC to deal with complaints, steer the process of settlement or conciliation, etc. with sensitivity;
- j. Proactively move to curb all forms of harassment of employees and students whether it is from those in a dominant power or hierarchical relationship within TERI University or owing to intimate partner violence or from peers or from elements outside of the geographical limits of the TERI University;
- k. Be responsible to bring those guilty of sexual harassment against its employees and students to book and initiate all proceedings as required by law and also put in place mechanisms and redressal systems like the ICC to curb and prevent sexual harassment on its campus;
- l. Treat sexual harassment as a misconduct under service rules and initiate action for misconduct if the perpetrator is an employee;
- m. Treat sexual harassment as a violation of the disciplinary rules (leading up to rustication and expulsion) if the perpetrator is a student;

#### **14.7 Support :**

- a. provide assistance if an employee or student chooses to file a complaint with the police;
- b. provide mechanisms of dispute redressal and dialogue to anticipate and address issues through just and fair conciliation without undermining complaints rights, and minimize the need for purely punitive approaches that lead to further resentment, alienation or violence;
- c. protect the safety of the complainant by not divulging the person's identity, and provide the mandatory relief by way of sanctioned leave or relaxation of attendance requirement or transfer to another department or supervisor as required during the pendency of the complaint or also provide for the transfer of the offender;

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- d. ensure that victims or witnesses are not victimised or discriminated against while dealing with complaints of sexual harassment; and
  - e. ensure prohibition of retaliation or adverse action against a covered individual because the employee or the student is engaged in protected activity.

#### **14.8 Conducting Inquiry:**

- a. The ICC shall, upon receipt of the complaint duly acknowledge receipt.
- b. The inquiry has to be completed within a period of ninety days from the receipt of the complaint. The inquiry report with recommendations if any has to be submitted within ten days from the completion of the inquiry to the Vice Chancellor. Copy of the findings or recommendations shall also be served on both parties to the complaint.
- c. The identities of the aggrieved party or victim or the witness or the offender shall not be made public or kept in the public domain especially during the process of the inquiry.
- d. Any complaint received by the members should be immediately forwarded to the Presiding Officer, and this must be notified to other committee members at the earliest and not later than 3 days and a meeting should be called for discussing the matter.
- e. No legal practitioner will be allowed to represent either the aggrieved woman or the respondent in proceedings before the ICC.
- f. If the ICC finds any complaint to be outside the purview of sexual harassment as defined above, it shall inform the complainant of the same in writing within five days of receiving the complaint and close the case without any inquiry; furthermore, the ICC shall report such closure to the Vice Chancellor within five days from its decision.
- g. The ICC may, before initiating an inquiry, at the request of the aggrieved woman, take steps to settle the matter between her and the respondent through conciliation. No monetary settlement shall be made as the basis of conciliation. The ICC shall provide the copies of the settlement as recorded to the aggrieved woman and the respondent. Where a settlement is arrived at, no further inquiry shall be conducted. The ICC shall then record the settlement so arrived and forward the same report to the Vice Chancellor.
- h. If conciliation is found to be not feasible, notice will be issued to both parties for hearing. Notice shall be issued to the respondent within 7 working days of receipt of the complaint and 10 working days shall be given for submission of reply (along with the list of witnesses and documents).
- i. If the ICC is satisfied that the complaint does fall under the purview of sexual harassment as defined above, it shall conduct an inquiry into the case, if the respondent is an employee/student. In case of other workers, if a prima-facie case exists, the ICC will forward the complaint to the police. During the inquiry, the ICC is authorized to take the following steps:-

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- Summon any employee/student of the TERI University, if required.
  - Examine the complainant / respondent / witness on oath, if required; every party involved in a case shall be given an opportunity of being heard, as mandated by section 11(1) of the Act; and
  - Demand the production of relevant documents, if required.
- j. The ICC shall close a case if the complainant withdraws the complaint in writing; and report the closure to the Vice Chancellor within one week of the withdrawal as mandated in section 10(2) of the Act.
  - k. Complete the inquiry within a period of ninety days from the date of receiving the written complaint, as mandated by section 11(4) of the Act.
  - l. Report the findings of every inquiry to the Vice Chancellor within a period of 10 days from the date of completion of the same inquiry, as mandated by section 13(1) of the Act.
  - m. As mandated by section 16 of the Act, the ICC shall not communicate the nature of the complaint / identity / address of the complainant or respondent or witness in response to any application under the Right to Information Act or to the public / media.
  - n. Where the conduct of sexual harassment amounts to a specific offence under IPC (45 of 1860) or under any other law it shall be the duty of the ICC to immediately inform the complainant of her right to initiate action in accordance with the law.
  - o. Make inquiry into the complaint in accordance with the provisions of the service rules/ disciplinary rules applicable to the respondent considering sexual harassment as misconduct. The ICC shall provide reasonable opportunity to the aggrieved woman and the respondent for presenting and defending her/his case. The ICC may at any time during the enquiry proceedings, preclude the face-to-face examination of the respondent and the aggrieved woman and/or their witnesses. The past sexual history of the aggrieved woman shall not be probed into as such information shall be deemed irrelevant to a complaint of sexual harassment.
  - p. The ICC shall have the right to terminate the enquiry proceedings and to give an ex-5party decision on the complaint, should the respondent fail, without valid ground, to be present for three consecutive hearings convened by the Presiding Officer.
  - q. The aggrieved woman and the respondent, or any one person on her/his behalf, shall have the right to examine written transcripts of the recordings with the exclusion of witnesses' names and identities. Any person nominated by the aggrieved woman and/or the respondent on her/his behalf shall be (only) either a student, or a member of the academic or non-teaching staff. No person who has been found guilty of sexual harassment shall be accepted as a nominee. The aggrieved woman/respondent should inform the Presiding Officer specifically if they wish to exercise this right. The Presiding Officer shall allow access to such documents on a specific date to be intimated at least two days in advance to each of the parties concerned. At no point in time, however, can the concerned parties take these documents outside the office.

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- r. The aggrieved woman and the respondent shall be responsible for presenting their witnesses before the ICC. However, if the ICC is convinced that the absence of either of the parties to the disputes is on valid grounds, the ICC shall adjourn that particular meeting of the ICC for a period not exceeding five days. The meeting so adjourned shall be conducted thereafter, even if the person concerned fails to appear for the said adjourned meeting without prior intimation/valid ground.
- s. All proceedings of the ICC shall be recorded in writing. The record of the proceedings and the statement of witnesses shall be endorsed by the persons concerned as well as the ICC members present. In case the minutes cannot be reduced in writing the same day, an audio recording of the proceedings may be made, and the written proceedings will be authenticated on a next available opportunity.
- t. If the aggrieved woman desires to tender any documents by way of evidence, the ICC can supply true copies of such documents to the respondent. Similarly, if the respondent desires to tender any documents in evidence, the ICC shall supply true copies of such documents to the aggrieved woman. In the event the ICC thinks that supplementary testimony is required, the Presiding Officer shall forward to the persons concerned a summary of the proceedings and allow for a time period of seven days submitting such testimony, in person or in writing, to the ICC.
- u. The aggrieved woman and the respondent shall have the right of cross-examination of all witnesses. However such cross-examination shall be conducted in the form of written questions and responses via the ICC only. The respondent shall have no right to directly cross-examine the aggrieved woman or her witnesses. The respondent/aggrieved woman may submit to the ICC, a written list of questions that he/she desires to pose to the aggrieved woman/witness. The ICC shall retain the right to disallow any questions that it has reason to believe to be irrelevant, mischievous, slanderous, derogatory or gender-insensitive. Amicus Curie can be called for helping the ICC if and when required. After concluding its investigation, the ICC shall submit a detailed reasoned report to the Vice Chancellor.
- v. The ICC shall maintain records with the following details of every complaint received:-
- Date of receiving the complaint.
  - Name, designation/Roll No., Department and Programme of the complainant;
  - Summary of the complaint.
  - ICC's decision, in brief with signature of the ICC members and President.

## **14.9 Decision of ICC**

The ICC's decisions shall be taken in the following manner:-

- If the Office Bearers are in unanimity, then their opinion shall be considered as the ICC's decision;

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- If the Office Bearers are not in unanimity, then the opinion of their majority shall be considered as the ICC's decision;
  - If there is a tie among the Office Bearers, then the Presiding Officer's opinion shall be considered as the ICC's decision.

## **14.10 ICC Recommendations**

14.10.1 The report of the ICC shall include any of the following recommendations:-

Appropriate action be taken against the respondent/s if the allegation has been proved in the inquiry, as mandated by section 13(3).

The following actions may be recommended for:-

Employee :

- Written apology.
- Warning.
- Reprimand or censure.
- Withholding of promotion.
- Withholding of pay rise or increments.
- Undergoing a counselling session.
- Carrying out of community service.
- Terminating the respondent from service.
- Any other punishment according to the service rules applicable to the respondent.

Students:

- Reformative Punishment. Mandatory counseling, Performance of Community Services
- Restrictions/Suspension of Privilege. Prohibits participation in or attendance at certain events, activities, or class/lab; restricts specific campus student privileges.
  - Hostel Privileges
  - Use of Lab Facilities
  - Use of Library facilities
  - Use of Cafeteria Block
  - Use of Sports Facilities
  - Membership in Clubs and Other bodies
  - Placement Activity
  - Internship/academic association with partner institution

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- **Disciplinary Probation.** Written notification that further violations of Honour Code may result in suspension. The terms of disciplinary probation shall be determined on case-to case basis.
  - **Suspension.** Student will be withdrawn from all courses carried in that semester and forfeit fees. Student shall be refrained from visiting the university premises unless approved in writing by the Dean (Academics). Suspension may involve course drop, semester drop, rustication for a specified period depending on the severity of the offence(s). The student can be reinstated on receipt of a written request from him/her after completion of the suspension period.
  - **Expulsion.** Forfeiture of all rights and degrees not actually conferred at the time of the expulsion, forfeiture of right to study and fees. Student can only visit the university premises only if the permission is issued in writing by the Dean (academics).

No action is taken against the respondent(s) if the allegation has not been proved in the inquiry, as mandated by section 13(2) of the Act;

#### 14.10.2 Action against frivolous complaint

To ensure that the provisions of the protection of employees and students from sexual harassment do not get misused, provisions against false or malicious complaints have to be made and published within the TERI University. If the ICC concludes that the allegations made were false, malicious or the complaint was made knowing it to be untrue, or forged or misleading information has been provided during the inquiry, the complainant shall be liable to be punished as per the provisions of sub regulations (1) of regulations 10, if the complainant happens to be an employee and as per sub-regulation (2) of that regulation, if the complainant happens to be a student. However, the mere inability to substantiate a complaint or provide adequate proof will not attract attention against the complainant. Malicious intent on the part of the complainant shall not be established without an inquiry, in accordance with the procedure prescribed, conducted before any action is recommended.

#### 14.10.3 Compensation/Damage

The aggrieved person is entitled to the payment of compensation. The ICC may recommend direction for payment of the compensation for approval of Vice Chancellor, which shall be recovered from the offender. The compensation shall be determined on the basis of:

- mental trauma, pain, suffering and distress caused to the aggrieved person;
- The loss of career opportunity due to the incident of sexual harassment;
- The medical expenses incurred by the victim for physical, psychiatric treatment;
- The income and status of the alleged perpetrator and victim; and the feasibility of such payment in lump sum or in installments.

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- 14.10.4 The Vice Chancellor shall act on the recommendations of the committee within a period of thirty days from the receipt of the inquiry report unless an appeal against the findings is filed within that time by either party.
- 14.10.5 Appeal. An appeal against the findings or/recommendations of the ICC may be filed by either party before the Vice Chancellor within a period of thirty days from the date of the recommendations.
- 14.10.6 If the Vice Chancellor decides not to act as per the recommendations of the ICC, then it shall record written reasons for the same to be conveyed to ICC and both the parties to the proceedings. If on the other hand it is decided to act as per the recommendations of the ICC, then a show cause notice, answerable within ten days shall be served on the party against whom action is decided to be taken. The Vice Chancellor shall proceed only after considering the reply or hearing the aggrieved person.
- 14.10.7 The aggrieved party may seek conciliation in order to settle the matter. No Monetary settlement should be made as a basis of conciliation.
- 14.10.8 The University shall facilitate a conciliation process through ICC, as the Case may be, once it is sought. The resolution of the conflict to the full satisfaction of the aggrieved part wherever possible, is preferred to purely punitive intervention.
- 14.10.9 The aggrieved woman or respondent may prefer an appeal to the competent authority.

## **14.11 Interim Redressal**

The University may-

- a. Transfer the complainant or the respondent to another section or department to minimize the risks involved in contact or interaction, if such a recommendation is made by the ICC.
- b. grant leave to the aggrieved with full protection of status and benefits for a period up to three months;
- c. Restrain the respondent from report on or evaluating the work or performance or tests or examinations of the complainant;
- d. Ensure that offenders are warned to keep a distance from the aggrieved, and wherever necessary, if there is a definite threat, restrain their entry into the campus.
- e. Take strict measures to provide a conducive environment of safety and protection to the complainant against retaliation and victimization as a consequence of making a complaint of sexual harassment.

## **14.12 Miscellaneous**

- a. Remuneration. As provided for in section 4(4) of the Act, the external member(s) shall be paid such fees as mutually agreed upon in a contract with this institution for attending the ICC's proceedings as and when required by its Presiding Officer.

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- b. Additional General Manager (AS), TERI University shall provide the necessary administrative and logistical support to the ICC as requested by its Presiding Officer.
- c. The ICC shall submit an annual report for every year (1st April to 31st March), with brief details of the cases filed and their status, to the Registrar by the 1st of April of the following year.
- d. The admin office shall render a report to UGC as per letter Ref.No. F. 91-1/2013 (GS) dated 15th June'15, in the format placed at Annexure 1.2, for this policy.
- e. In case of any doubts or ambiguity or difficulty in implementing the provision of these rules the decision of Vice Chancellor, TERI University in this regard shall be sought and shall be final.

Annexure 1.1 to Policy on SH

**TERI UNIVERSITY**

(Deemed to be University)

Notification No:

Date:

**Internal Complaints Committee and a policy document to inquire into the complaint of Sexual Harassment at work place**

In accordance with the UGC (Prevention, prohibition and redressal of sexual harassment of woman employees and students of HEI) Regulations 2015 dated 02 May 2016, the Vice Chancellor has constituted the following “**Internal Complaints Committee(ICC)**” in the TERI University to inquire into the complaints of Sexual Harassment of woman employees and students:-

- (a) - Presiding Officer
- (b) - Member(faculty)
- (c) - Member(faculty)
- (d) - Member(non teaching employee)
- (e) - Member(non teaching employee)
- (f) - Member (External/NGO)
- (g) - Member (PG Student)
- (h) - Member (PG Student)
- (i) - Member (Research Scholar)



**Annexure 1.2 to policy on SH**

**Annual Return on cases of Sexual Harassment**

**Period : 1<sup>st</sup> April ..... To 31<sup>st</sup> March.....**

<b>Ser</b>		<b>TU</b>
1.	Number of complaints of sexual harassment received in the year	
2.	Number of complaints disposed off during the year	
3.	Number of cases pending for more than 90 days	
4.	Number of workshops on awareness programmes against sexual harassment conducted during the year	
5.	Nature of action	

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## **Chapter XIV – Intellectual Property Policy, 2017**

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### **15.1 TERI University’s objective and ethos**

- 15.1.1 TERI University’s work is underscored by its mission to build and share knowledge and information responsibly and openly for the larger purpose of public good. TERI University aims to share its body of work as openly as possible, for the benefit of people at large.
- 15.1.2 Any private benefits or commercial gains of its work are incidental to its purpose of creating public good.
- 15.1.3 The students, employees and consultants, (hereinafter to be collectively referred to as personnel) engaged by TERI University as well as its collaborators under the provisions of the collaboration agreements produce Intellectual properties as part of their work. This Intellectual Property policy is applicable to all TERI University personnel, as well as non-TERI University personnel associated with any activity of TERI University such as, but not limited to, Continuing Education Programme and covers different classes of Intellectual Property -- Patent, Copyright, Trade Mark / Service Mark, Design Registration, Trade Secret, Confidential Information and Integrated Circuits Layout.

### **15.2 Definitions**

- 15.2.1 Intellectual Property: The term “intellectual property” used herein broadly means any property/asset generated out of and/or emerging from the intellectual effort of human brain, either having proprietary value or protected by statute.
- 15.2.2 Intellectual property includes Patents, Copyrights, trademarks, service marks, logos, design, trade secret, confidential information and Integrated Circuits Layout etc.
- 15.2.3 Copyright: Copyright as explained under Section 13 of the Indian Copyright Act 1957. It broadly includes copyright in software, industrial and architectural designs, models, engineering drawings, integrated circuit layout designs; animations and visualizations, information technology products and processes including hardware and software features, original innovative or creative or artistic works and their derivatives or adaptations, whether dramatic, musical, literary works, works of graphic or plastic art and cinematographic and animated films, teaching material for classroom and online courses such as courseware for distance education, original data and records of research,
- 15.2.4 Patents: Patent’ as defined under section 2(m) of the Patents Act 1970. It includes a new product or process involving an inventive step and capable of industrial application;

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- 15.2.5 Usual University Resources: Usual University resources mean facilities such as standard laboratory facilities, office space, normal access to software, library, computers standard secretarial services, and networks.
- 15.2.6 University-Supported Resources: University-supported resources mean distinct facilities and apparatus, precise funding, intellectual property already owned by the University, demanding the time and effort of personnel or at the University's instance and expense, and diminution by the University of any or all of the standard responsibilities of personnel to offer time or resources for the purpose of creating intellectual property. The authority designated by the Vice Chancellor (herein after mentioned as appropriate authority) must assess the use of resources for the creation of intellectual property and decide whether substantial use of University-supported resources has happened.

When the creator believes that their work encompasses more than the regular usage of University resources, they must report to the appropriate authority.

In particular the following University resources will constitute University supported resources as contemplated by this policy.

**Financial Resources**

- a. Financial support provided by the University over and above the regular salary/perks as per employment/enrolment/sponsorship contract or over and above the scholarship provided to students/research scholars.

Exception: Awards, honour fellowships, prizes, assistantships and scholarships, grants, and facilities manufactured with such funds, will not constitute University-supported resources. Infrastructure established by creator's personal funds will not constitute use of University-supported resources

- i. Funds given by the University to protect, preserve and implement rights in intellectual property;
- ii. Funds given to exploit and/or commercialize intellectual property;
- iii. Fees exemption by the University for the usage of any Particular facility or apparatus.

**Intellectual Property Resources:**

- i. intellectual property already in existence and owned by the University;
- ii. Usage of the name, logo, or trademark of the University in the creation and marketing of intellectual property.

## **15.3 Ownership of the IP**

### 15.3.1 Copyrights –

Ownership of copyright of all copyrightable work shall rest with the author(s) with the following exceptions:

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- b. If the work is created in the course of sponsored and/or joint activity, specific provisions related to Intellectual Property made in contracts governing such activity shall decide the ownership of Intellectual Property.
  - c. TERI University shall be the copyright owner of the work, including software, created by TERI University personnel with use of University supported resources. The University may demand assignment of the copyright in whole or in part depending on the degree of University supported resources used in producing the copyrightable work.
  - d. TERI University shall be the copyright owner of all teaching material developed by TERI University personnel as part of any of the academic programs at TERI University. However, the authors shall have the right to use the material in her/his professional capacity for an academic or research purpose only.
  - e. TERI University shall be the copyright owner of work created by Non-TERI University personnel related with any activity of TERI University with the intellectual input of TERI University personnel. However, the authors shall have the right to use the material in her/his professional capacity, for an academic or research purpose only.

#### 15.3.2 Patents –

- a. For any intellectual property pertaining to any idea/innovation/inventive concept generated by ‘personnel’ also known as inventor with the use of usual University resources during the tenure of his engagement/employment with the university, the inventor will be required to assign the invention to the University.
- b. The inventor is also required to assign to the University any such intellectual property that emerges/emanates from the intellectual inputs of the inventor during the course of his/her engagement/employment :
- c.
  - i. With the use of University-supported resources. In such a case, the University will undertake procedures to commercialise the property through licensing or other agreements. Until the patent application is made the creator shall agree to keep all pertinent facts of intellectual property secret and confidential.
  - ii. With the use of funding from sponsored research where the sponsor does not claim intellectual property rights.

#### 15.3.3 Sponsored Research

For Intellectual Property created/generated during the course of sponsored and/or collaborative activity, definite provisions related to Intellectual Property specified in contracts dealing with the collaborative activity shall regulate the ownership of Intellectual Property.

### **15.4 Disclosures, Confidentiality and Assignment of Rights**

The provisions of the contract pertaining to disclosure of work will have to be followed for sponsored and/or collaborative work

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For an inventor(s) who wish to protect the invention(s) they create, other than through sponsored and/or collaborative work, the inventor(s) shall disclose the creative work to the appropriate authority at the earliest date.

Disclosure is an important process of the Intellectual Property protection and it properly documents claims of inventorship, the date of the invention and other details of the invention. The inventor(s) shall assign the rights of the disclosed invention to TERI University.

All TERI University personnel and non-TERI University personnel affiliated with any activity of TERI University shall treat all Intellectual Property related information and/or technical knowhow which has been disclosed to the appropriate authority and/or whose rights are assigned to TERI University, or whose rights rest with TERI University personnel, as 'confidential'.

The term "Confidential Information" shall mean:

- i. all information, analyses, compilations, studies, documents or other material (in any form and whether communicated orally, in written form or through other media) obtained directly or indirectly by the 'personnel' during the period of his engagement with the university and/or the Transaction, together with any analyses, compilations, studies, documents or other material (written or otherwise) prepared by the personnel, which reflects or incorporates such information that may be associated with any intellectual activity carried out by personnel in the tenure of engagement;  
and
- ii. the possible Transaction, the proposed terms of the Transaction, the existence and contents of this subject, the fact that discussions are or may be taking place with respect to the Transaction and the fact that the personnel may have requested or received this the said subject or Confidential Information.

## **15.5 Royalty Sharing**

Royalty accruing or any type of payment received from the commercialization of University-owned intellectual property will be shared between the University and the creator according to the revenue sharing model promulgated by the University from time to time in broad conformity and accordance with the prevalent laws of the land.

## **15.6 Resolution of disputes**

- 15.6.1 In case of disputes between the inventor and the University regarding the implementation of Intellectual Property Policy, the aggrieved party may approach the appropriate authority.
- 15.6.2 If the aggrieved party is not satisfied with the decision of the appropriate authority, the party may appeal to the Vice Chancellor of TERI University. The Vice Chancellor's decision will be final and binding.

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## **15.7 Jurisdiction**

All dispute(s) arising with respect to the implementation of Intellectual Property Policy, will be subject to the legal and territorial jurisdiction of the Courts of Delhi only.

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## **Chapter XV - TERI University Policy on dealing with the Student Disciplinary Cases**

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(TU/BM 20.4.1 dated 30 May 16)

### **16.1 Preamble**

The University expects all students to conduct themselves within and outside precincts of the campus in an honorable and ethical manner, befitting the students of a research institution. TERI University students must maintain discipline, bear a good moral character and display responsible behavior towards it and the society. A student discipline system exists to handle infractions against TERI University rules and regulations. Students will be penalized for breach of prescribed rules and regulations and the nature of penalty will be decided following a disciplinary procedure and guidelines.

### **16.2 Scope**

These procedures, here onwards, are referred as TERI University (TU) Policy and Guidelines on dealing with the Student Disciplinary Cases. This Policy shall be applicable to all disciplinary cases involving Students (including regular and distance learning mode) based within the campuses, hostels, or any other location visited by the student for educational purpose facilitated by the TERI University.

### **16.3 Definitions**

#### **Student**

All Research Scholars, Interns and Students at the TERI University who have enrolled/registered/given acceptance for a programme/internship/research work at the University. Students from other universities studying at TU under the provision of a Memorandum/Contract agreed between the institutes shall be dealt as per the terms and conditions laid down in the agreement.

#### **Member of TU Community**

Any person on the rolls of TERI University including temporary, part-time or honorary employees including any person engaged on a casual or a project basis, and also those engaged through a contractor, students and campus residents.

#### **Honour Code**

A personal and ethical code of conduct, expected out of a Student of TU to facilitate a healthy academic environment during his/her study/research work at the University.

### **16.4 General Rules**

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- a. Each student must show due respect and courtesy to all members of TU community; they must not infringe upon the fundamental rights of fellow students.
  - b. It is the responsibility of the student to ensure a comprehensive understanding of TU policies.
  - c. In the event of Students' involvement in any activity which is punishable by the law of the land, the University will not be responsible and is not obliged to provide any support.
  - d. In the event of an illegal activity on the campus, on the approval from VC, the University is obligated to permit the police to take action as deemed fit.

## **16.5 Violation of Honour Code**

Any one or combination of the following actions shall constitute violation of Honour Code and shall be subject to disciplinary sanctions by the University:-

- a. Being convicted under any law of the country. Any conviction for an offence involving moral turpitude under the Indian Penal Code or any other law enforced for the time being.
- b. Noncompliance of TU policies, Academic & Examination rules or regulations and Memorandum with partner institute as promulgated from time to time.
- c. Academic and Research Misconduct. Impersonation, committing forgery, furnishing false certificate or information, tampering with TU documents or records, accessing confidential records/ data of University without permission, adopting unfair means and disorderly conduct during exams, interfering in the laboratory/research work of colleagues, revising/resubmitting a marked test /quiz for re-grading without the instructor's consent and receiving or giving unpermitted aid in any assignment (like take-home tests), misconduct while undertaking an academic/research study or survey or study visit outside the campus and any other activity universally accepted as acts of academic dishonesty.
- d. Violation of Research Integrity. Distorting research procedures by fabrication of data, generating and reporting fraudulent data or distortion of the research process in any other ways.
- e. Plagiarism and Unauthorized Stealing of Others' Intellectual Works. Plagiarizing from printed or electronic (web-based) material, hijacking ideas discussed, representing someone else's work as own and misleading faculty
- f. Misuse of Technology Resources. Using technology to gain unfairly and disrupt system/process, committing cyber offences like hacking, spamming, breaking into another's account, defacing website, hosting sexually explicit material, using social media to host material that goes against the prevailing laws, sending derogatory emails, copying(cheating) electronically, planting viruses etc.
- g. Misuse of Alcoholic Beverages and Controlled Substances. Consuming or possessing alcoholic drinks without the explicit permission of University authorities. Possessing and consuming prohibited narcotic drugs and



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intoxicants in the University premises. Smoking in the campus including hostel rooms.

- h. Assault, Harassment, Injury and Threat. Any assault (verbal or physical) upon or intimidation of or insulting behaviour towards a member of TU Community inside or outside the University campus.
- i. Indecent Exposure. Conduct and exposure undertaken in publicly viewable location, which is deemed obscene.
- j. Sexual Misconduct, Sexual Assault and Sexual Harassment. Offences committed under the relevant law and UGC/AICTE/TU Policy & guidelines for the prevention, prohibition and punishment of Sexual Harassment of Women. Complaints are to be handled as per the relevant policy on the issue.
- k. Discrimination. Discriminating against any one on any ground and creating disharmony among students on grounds of religion, caste, nationality, race disability, gender and culture as defined in TU Policy on Equality, Diversity and Inclusion.
- l. Theft or Damage to Property or Services & Disruption of activities. Attempt to prevent the members of TU community from discharging their duty, vandalizing or defacing the University property, causing or colluding in unauthorised entry of any person in the campus. Wilful violation of biohazard/chemical/radioactive safety, fire safety and security rules of the University.
- m. Possession or Misuse of Weapons. Possessing or misusing weapons such as explosives, firearms, knives, lathis, iron chains and iron rods in the University premises or any other instrument which can cause bodily harm.
- n. Violation of Study Abroad/Internship Contracts. Willful violation of contractual terms and conditions agreed with an Institution/Agency/Organisation. Professional misconduct during study abroad and short or longer internships while at any external institution as part of academic engagement.
- o. Ragging. Committing an act of ragging in any form as laid under UGC, AICTE and TU policy on the issue.
- p. Failure to obey instructions of any TU disciplinary authority. Failure to comply with written or oral communications from an authorized TU official to appear for a meeting or hearing.
- q. Engage in any conduct which is unbecoming of a student of the TERI University.

## **16.6 Undertaking**

An Undertaking in the format placed at Annexure I is to be obtained from all the Students joining the University stating that they have understood what constitutes violation of Honour Code and the same may invite disciplinary action from the University.

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## 16.7 Disciplinary Committee

The formal procedure of a complaint will be heard and adjudicated by the TU Disciplinary Committee (DC) consisting of the following:-

(a)	Nominee of VC	Chairperson
(b)	Deans	Members
(c)	Concerned Head of Centre /Department	Member
(d)	Registrar	Secretary

## 16.8 Procedure to handle Complaints

- a. Anyone can lodge a complaint with the Head of the Department about a perceived breach of honour code by a student. All such complaints will be forwarded to the Dean (Academic) who will, in consultation with the Course Instructor and/or Ph.D. supervisor, determine the severity of the breach of conduct and discipline and decide to either deal with the complaint informally or formally. If the case has to be dealt formally, it must be forwarded to the Vice Chancellor for convening a DC.
- b. Where an offence is clearly established based on TU official records i.e shortage in attendance, submitting forged document for admission, absence from a certain academic activity like internship etc. the office of the Registrar shall be responsible for taking punitive action and formally communicating the nature of punishments applicable to the student as per the existing orders/policies on the issue.
- c. The Warden-in-Charge of the Hostel shall have power to take action against any resident as per the Hostel rules. If the violation is of repeated or of aggravated nature then it is to be raised with Dean (Academics) for further necessary action.
- d. In case of a formal procedure a DC has to be convened by the VC which shall assemble within 48 hours of issue of orders, hear all parties concerned in the case and submit its report to the VC within 14 days. Wherever DC is not able to submit the report within the stipulated period, an extension may be obtained by the Chairperson, DC from the VC in writing after providing sufficient reason for such delay. However, such delay will not cross maximum four weeks.
- e. The respondent/s shall be notified of the date of the inquiry by the chairperson, DC through a confidential note/email. The DC shall serve the student with a charge sheet containing specific charges requesting to send the reply in writing within the time period granted. If the respondent/s plead/s not guilty a formal inquiry to be conducted and report thereof submitted.
- f. The DC shall have the power to summon any faculty, staff and student of the University as the case may be to render whatever assistance needed to conduct inquiries on matters pertaining to the case. A student who does not so comply shall be guilty of a punishable offence. The student shall be provided with

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relevant documents or extracts which have been used to frame charges against him/her.

- g. If the DC finds an offence has been committed then it shall recommend suitable penalty for the same.
- h. The DC after finalizing its recommendations shall submit its report to the VC giving reasons for such findings and the verdict. The VC shall consider the report of the above Committee and decide on the penalty to be imposed on the student/s. The decision of the VC shall be intimated to the Registrar.
- i. Sufficient opportunity of being heard may be given to the student(s) in case of punishment by the DC, and the VC if necessary.

## 16.9 Punishments

If a student is found responsible for violation(s) of the Honour Code, disciplinary action will be taken as under:-

- a. **Minor Punishment**
- b. **Oral Reprimand. Advised and cautioned about misconduct orally.**
- c. **Written Reprimand.** Advised and cautioned about misconduct in writing.
- d. **Written Warning.** Warning may be imposed for a period of not more than one calendar year. To be communicated in writing mentioning that further violations of any section of Honour Code, will result in more severe disciplinary action.
- e. **Major Penalties**
- f. **Academic Penalties:-**
  - Debar from Exam. Based on the rules promulgated by Controller of Examination.
  - Reduced Grade/F Grade. Based on University policy on various issues other than a legitimate performance in the exam.
- g. **Cancellation of registration and/or Denial of Credit.** Applicable to cases where the student is found guilty of withholding information relating to the student's admission, transfer credits, academic status, records, etc.
- h. **Restrictions/Suspension of Privilege.** Prohibits participation in or attendance at certain events, activities, or class/lab; restricts specific campus student privileges.
  - Hostel Privileges
  - Use of Lab Facilities
  - Use of Library facilities
  - Use of Cafeteria Block
  - Use of Sports Facilities
  - Membership in Clubs and Other bodies
  - Placement Activity

- 
- Internship/academic association with partner institution
- i. **Fine for Damage.** An appropriate fine to be levied in addition to the compensation for damage caused by the student.
  - j. **Disciplinary Probation.** Written notification that further violations of Honour Code may result in suspension. The terms of disciplinary probation shall be determined on case-to case basis.
  - k. **Suspension.** Student will be withdrawn from all courses carried in that semester and forfeit fees. Student shall be refrained from visiting the university premises unless approved in writing by the Dean (Academics). Suspension may involve course drop, semester drop, rustication for a specified period depending on the severity of the offence(s). The student can be reinstated on receipt of a written request from him/her after completion of the suspension period.
  - l. **Expulsion.** Forfeiture of all rights and degrees not actually conferred at the time of the expulsion, forfeiture of right to study and fees. Student can only visit the university premises only if the permission is issued in writing by the Dean (academics).

## 16.10 Communicating the Punishment

- a. **Minor Punishment.** The minor punishments will be communicated by the Head of Department/Centre and Programme Instructor as the case may be.
- b. **Major Punishment.**
  - The penalty will be communicated in writing to the student by the office of the Registrar, TU.
  - Student found guilty of some major offence may not be recommended to Board of Management (BoM) for the award of a degree/diploma/certificate even if all the academic requirements have been satisfactorily completed by the concerned student.
  - The action will be noted on the student's disciplinary record.
- c. Copy of all **disciplinary proceeding** and final decision and communications shall be forwarded to Office of the Registrar, TERI University for record.
- d. Discipline records are confidential in accordance with laws of the nation and therefore the contents of the student discipline record may not be released to anyone not associated with campus discipline except upon written approval of the student or court order or order by a competent authority established by law.
- e. The case of a defaulting student recommended for expulsion or dismissal from the University shall ordinarily be referred to the Board of Management for its final decision.

## 16.11 Appellate Authority

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A student who feels aggrieved with the punishment can appeal to the Vice Chancellor who will be the appellate authority for all punishments. The student should appeal within two weeks' time with proper justification.

Annexure I  
(Refers to Para 15.11 of Policy )

### **THE STUDENT'S HONOUR CODE**

1. I ..... registration no. .... do hereby undertake that as a student at the TERI University: -
2. I will conduct myself within and outside the University's premises in a manner befitting the students of a research university, and consider the following as actions that are in violation of the Student's Honour Code of the University, and which would invite disciplinary action:-
  - 2.1 Being convicted under any law of the country. Any conviction for an offence involving moral turpitude under the Indian Penal Code or any other law enforced for the time being.
  - 2.2 Noncompliance of TU policies, Academic & Examination rules or regulations and Memorandum with partner institute as promulgated from time to time.
  - 2.3 Academic and Research Misconduct. Impersonation, committing forgery, furnishing false certificate or information, tampering with TU documents or records, accessing confidential records/ data of University without permission, adopting unfair means and disorderly conduct during exams, interfering in the laboratory/research work of colleagues, revising/resubmitting a marked test /quiz for re-grading without the instructor's consent and receiving or giving unpermitted aid in any assignment (like take-home tests), misconduct while undertaking an academic/research study or survey or study visit outside the campus and any other activity universally accepted as acts of academic dishonesty.
    - 2.3.1 Violation of Research Integrity. Distorting research procedures by fabrication of data, generating and reporting fraudulent data or distortion of the research process in any other ways.
    - 2.3.2 Plagiarism and Unauthorized Stealing of Others' Intellectual Works. Plagiarizing from printed or electronic (web- based) material, hijacking ideas discussed, representing someone else's work as own and misleading faculty members about the condition under which the work was prepared.
  - 2.4 Misuse of Technology Resources. Using technology to gain unfairly and disrupt system/process, committing cyber offences like hacking, spamming, breaking into another's account, defacing website, hosting sexually explicit material, using social media to host material that goes against the prevailing laws, sending derogatory emails, copying(cheating)electronically, planting viruses etc.
  - 2.5 Misuse of Alcoholic Beverages and Controlled Substances. Consuming or possessing alcoholic drinks without the explicit permission of University

- 
- authorities. Possessing and consuming prohibited narcotic drugs and intoxicants in the University premises. Smoking in the campus including hostel rooms.
- 2.6 Assault, Harassment, Injury and Threat. Any assault (verbal or physical) upon or intimidation of or insulting behaviour towards a member of TU Community inside or outside the University campus.
  - 2.7 Indecent Exposure. Conduct and exposure undertaken in publicly viewable location, which is deemed obscene.
  - 2.8 Sexual Misconduct, Sexual Assault and Sexual Harassment. Offences committed under the relevant law and UGC/AICTE/TU Policy & guidelines for the prevention, prohibition and punishment of Sexual Harassment of Women.
  - 2.9 Discrimination. Discriminating against any one on any ground and creating disharmony among students on grounds of religion, caste, culture, nationality, race disability, gender and culture as defined in TU Policy on Equality, Diversity and Inclusion.
  - 2.10 Theft or Damage to Property or Services & Disruption of activities. Attempt to prevent the members of TU community from discharging their duty, vandalizing or defacing the University property, causing or colluding in unauthorised entry of any person in the campus. Willful violation of biohazard/chemical safety rules, fire safety and security rules/policies of the University.
  - 2.11 Possession or Misuse of Weapons Possessing or misusing weapons such as explosives, firearms, knives, lathis, iron chains and iron rods in the University premises or any other instrument which can cause bodily harm.
  - 2.12 Violation of Study Abroad/Internship Contracts. Willful violation of contractual terms and conditions agreed with an Institution/Agency/Organisation. Professional misconduct during study abroad and short or longer internships while at any external institution as part of academic engagement.
  - 2.13 Ragging. Committing an act of ragging in any form as laid under UGC, AICTE and TU policy on the issue.
  - 2.14 Failure to obey instructions of any TU disciplinary authority. Failure to comply with written or oral communications from an authorized TU official to appear for a meeting or hearing.
  - 2.15 Engage in any conduct which is unbecoming of a student of the TERI University.

Date .....

Student's  
signature.....

Place.....

Name  
.....

Registration  
No.....

---XXX---

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## Chapter XVI - TERI University Policy and Procedure For Student Appeal of Final Course and Project Grade

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### 17.1 Purpose and scope of the final Grade Appeal Policy

The purpose of the final grade appeal policy is to establish a fair procedure for settling cases involving contested final grades assigned in the courses or projects. However, this applies only to the final grade of a course or project, and does NOT apply to the marks/grades assigned for specific components of the courses or projects (i.e. assignments, presentations, minor tests etc). This also does NOT apply to any grade changes done as a result of disciplinary action against the student.

Appeals for review of more than one grade must be applied for on separate applications. Each application would need to be accompanied by the requisite fee.

### 17.2 Time-frame for Grade Appeal

All final grade appeals must be initiated by the student within 3 working days of the grade display.

### 17.3 Procedure for Grade Appeal:

#### 1. Grades awarded for individual courses:

The award of a grade for the performance of a student in a course is the prerogative of the course faculty-in-charge. A grade given by the faculty member may be changed only by that faculty member. In exceptional cases, it may be changed by the Dean of the concerned faculty, on the recommendation of the MPEC.

#### Procedure for grade appeal for a course:

- a. The student should contact the Registrar office to ensure that there is no input error.
- b. In case no input error is found, the student may meet the concerned faculty-in-charge to initiate the informal procedure.

#### Informal Process

The student who believes that s/he was given an improper grade, must meet the concerned faculty member, within 3 working days of the grade display, to review her/his grade if s/he believes that there was an error while totaling marks of various components (e.g. minor tests, assignment, field reports etc.) of the course.

The informal process must be carried out face-to-face. However, if the faculty member is not available in the office, the discussion between the student and faculty may take place through email or phone, if suggested by the faculty member.

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## **Formal Process**

### **Application to Dean**

If the student is still dissatisfied over her/his final grade, s/he may apply for a formal procedure of grade review to the Dean of the concerned faculty. This must be done within 3 working days of the grade display.

The formal application for final grade review must be done as a signed written request and must include a statement from the student providing evidence that supports the argument that a fair evaluation method has not been used while assigning the final grade to her/him.

The Dean will review the matter by holding meetings with the student and concerned faculty member individually, and will:

- a. Communicate the decision to the student within 3 working days, OR
- b. Refer the matter to the MPEC for a review, and thereafter take a decision based on the recommendation, within 3 working days.

### **Review by the MPEC**

When the Dean refers the matter to the MPEC for a review, s/he would pass-on on the points relevant to the case, to the chairperson of the MPEC, who in turn, after the meeting, would communicate the recommendation of the MPEC, in writing, to the Dean.

In normal circumstances, the faculty-in-charge of the course must attend the MPEC meeting.

### **Decision of the Dean**

The final decision of the Dean will be communicated to the faculty-in-charge for retention/change of grade. This will then be communicated to the Registrar's office.

## **2. Grades Awarded for Projects:**

The awarding of grade for the performance of a student in a project is the prerogative of the Master's Programme Executive Committee (MPEC). A grade given by the MPEC may be changed only by the committee.

### **Procedure for grade appeal for a project:**

- a. If the student is dissatisfied over her/his final grade in a project (e.g. Minor or Major), the student should contact the Registrar office to ensure that there is no input error.
- b. In case no input error is found, the student may meet the Project Coordinator /HoD to initiate the informal procedure.

## **Informal Process**

The student who believes that s/he was given an improper grade, must meet the concerned In-charge of the project i.e. Summer/Major Project Coordinator/ Head of the Department, within 3 working days of the grade display, to review her/his grade and to find out if there was any error while calculating marks of various components (e.g. presentation, written report etc.) of the project.



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The informal process must be carried out face-to-face. However, if the concerned In-charge is not available in the office, the discussion between the student and project In-charge may take place through email or phone, as suggested by the project In-charge.

After hearing the case of the student, the project In-charge will discuss the issue with the concerned evaluation committee and the supervisor. The In-Charge will communicate the decision to the student within 3 working days.

### **Formal Process**

#### **Application to Dean**

If the student is not satisfied with the outcome of the informal procedure, s/he may appeal for a formal review of the final grade to the Dean of the concerned Faculty.

The formal application for final project grade review must be done as a signed written request and must include a written statement from the student providing evidence that supports the argument that a fair evaluation method has not been used while assigning the final grade to her/him.

The Dean will review the matter by holding meetings with the student and Project Coordinator/HoD, and will: -

- i. Communicate the decision to the student within 3 working days, OR
- ii. Set up an ad-hoc grade review committee, to review the grade.

#### **Ad hoc Final (project) Grade Review Committee:**

The review committee will consist of:

- i. Dean (Chair)
- ii. Two faculty members from the same discipline\*
- iii. One faculty member from another discipline\*

(\*These faculty members will be other than those who evaluated the project or were associated with the project in any way)

The committee will review the documents and evidence provided by the student and the project In-charge. The committee may request the student, supervisor or any of the evaluation committee members to present their case in front of the committee, if required. The committee will give its decision within 3 working days of the appeal.

#### **Decision of the Review Committee**

The decision of the Review Committee will be communicated by the Dean, to the Chairperson of the MPEC, who may, if required, call a meeting of the MPEC and retain/change the grade. This will then be communicated to the Registrar's office.

## **17.4 Final Grade after review**

The grade awarded after the review process will be taken as final, and cannot be appealed against. This would include situations where grades may be lowered as a result of the review.

## **17.5 Fee for review**

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Students applying for the formal procedure for review of a grade awarded must submit a fee of Rs 1000/- along with the application. For appeals against more than one grade, each appeal is to be applied for separately, each accompanied by a fee of Rs 1000/-.

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## Chapter XVII - Guidelines for organizing events

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These guidelines are being issued to cover all events at TERI U keeping in mind the reputational implications of organizing such events and the opportunity that the organizational responsibilities offer, to instil in students values of planning and coordination, attention to detail, discipline and integrity. The need for proper faculty supervision of all events is paramount, even if students are being given the responsibility of organizing the same.

### 18.1 Core Committee/Budget Preparation/Agenda

- i. All events must have one faculty coordinator.
- ii. To begin with a core committee of students headed by a team leader should be formed and introduced to AGM (AS) for direct contact and coordinating the event smoothly.
- iii. As a first step, a detailed budget is to be prepared and duly approved by the concerned faculty member and the Registrar.
- iv. An agenda is to be prepared in consultation with students. In case a panel discussion is planned, the names of panelists are to be approved by the faculty coordinator.

### 18.2 Sponsorship

- i. Information of the proposed sponsor with expected amount should be put-up to and approved by the faculty coordinator. This should be shared with the HoD / Registrar well before an approach is made. The need to take due care of any reputational risks associated with potential sponsors, is to be kept in mind at all stages.
- ii. Sponsorship money should be received only through cheque/DD favoring “The Registrar, TERI UNIVERSITY”.

### 18.3 Event Expenditure

- i. Due care should be taken to control expenditure and, quality considerations being acceptable/comparable, the expenditure should be kept to the minimum. In keeping with the traditions of the University, wasteful expenditure must be avoided, and this habit must be inculcated in the students organizing the event.
- ii. All the event related expenditure should be done against proper invoice/receipt with prior approval of the concerned faculty/AGM (AS) under approved budget heads.
- iii. All efforts should be made by students to obtain receipts from the vendors. In exceptional cases where proper receipt is not available, a hand written statement is to be submitted at the time of settling advance/claiming reimbursement of the amount spent, but this must be approved by the faculty coordinator.

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- iv. An event checklist is available on the UMS which should be used to plan activities and expenditures on time.

#### **18.4 Surplus**

Any surpluses generated from student-led event sponsorship would be deposited in the fund for student participation in conferences.

#### **18.5 Catering/Logistic Arrangement**

- i. All requests regarding administrative/logistic arrangements should be made to AGM (AS) well in advance, and at the minimum at least a week in advance.
- ii. Catering related requirements should be routed through Asst. Administrative Officer to avoid any miscommunication. Students should not approach the caterer directly for placing orders. In case students wish to hire a caterer from outside, they should introduce him first to the University authorities before finalizing the deal.

#### **18.6 Registration Kit / Participation Certificate**

- i. Event material should be discussed well in advance to avoid last minute rush.
- ii. All printing related work like note pads/ certificates/posters etc. should be routed through administrative section at least a fortnight in advance.
- iii. Posters / certificates etc (all material going outside the University) must be approved by the faculty coordinator, who will check for appropriateness and correctness (in terms of language, spellings etc).
- iv. Certificates must adhere to the standard template of the University.
- v. No order for printing of posters/certificates etc should be given without approval of Registrar, TU.
- vi. Listing of sponsor names on certificates should be avoided and limited to the banners only. Exceptions to this can only be made by the Registrar / Vice Chancellor.

#### **18.7 Gifts For Speakers**

As per policy of the university only saplings/neck ties/ solar torch should be given as token gift to the guest/speakers of a value not exceeding Rs 1000/- and only if necessary/desirable.

#### **18.8 Prizes**

No cash prizes are to be awarded to participants. Prizes can be in the form of book voucher/ plants/ fee for training etc.

Note: Students may be advised to collect forms for keeping record/claiming conveyance reimbursement, honorarium paid etc. from the Administrative Services section.

## Chapter XVIII – Procurement

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### 19.1 Definitions

#### i. Stores/Material

All types of goods, such as equipment, spares, chemicals, glassware, consumable, stationery, etc. as well as all types of services, including packing, unpacking, preservation, transportation, insurance, delivery, special services, leasing, technical assessment, consultancy, systems study, software development, maintenance, updates, conservancy, etc.

#### ii. Procurement

Procurement refers to the entire gamut of activities involved in and the procedures to be adopted for acquiring goods and services

#### iii. Procurement Section

The section that is responsible for the actual procurement as per the prescribed procedure to meet the requirement of the indenter.

#### iv. Financial Power

Financial power is the power to approve expenditure to be incurred for bonafide purposes in accordance with the laid down procedure and subject to availability of funds.

#### v. Financial Authority

The Financial Authority (FA) is an authority duly empowered by the Board of Management/Vice Chancellor to sanction and approve expenditure from University accounts up to a specified limit in terms of amount of such expenditure and subject to availability of funds. All financial powers are to be exercised by the appropriate FA. Where financial powers have been delegated to more than one authority under the same Serial/Head, authority with higher delegated financial powers will constitute the 'next higher FA'.

#### vi. Contract

A proposal or offer when accepted is a promise, a promise and every set of promises forming the consideration for each other is an agreement and an agreement, if made with free consent of parties competent to contract, for a lawful consideration and with a lawful object, is a contract.

#### vii. Purchase Requirement (PR)

The Purchase Requirements which lay down the technical parameters of the equipment /item, reflecting the user's requirements in terms of functional characteristics of the stores being procured. It is a requisition placed by the user on the procurement section to procure an item. It is the authority for initiating procurement action and may contain one or more items. All necessary details of the item, including quantity, denomination, estimated price, specification, scope of supply, date by which

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required and inspection authority are to be indicated in the indent to enable prompt procurement of the item.

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**viii. Indenter**

The indenter is the person that places the requirement of stores in the form of an indent on the procurement Section through the PR.

**ix. Inspecting Authority**

Departments/Centres to nominate specialists as inspector as per the inspection methodology based on the type of items procured.

**x. Original Equipment**

Manufacturer (OEM): The original equipment manufacturer which is the only firm manufacturing the specified item/equipment of a specific make, as distinguished from the stockists/distributors or suppliers of such items/equipment and no other manufacturer exists for that equipment.

**xi. Paying Authority**

In respect of procurements made under this Manual, Paying Authority means Finance Officer of the TERI University.

**xii. Supplier**

Supplier is the entity, which enters into a contract to supply goods and services. The term includes employees, agents, assigns, successors, authorized dealers, stockists and distributors of such an entity. Where the context so warrants, other terms, such as 'vendor' or 'seller' are also being used.

**xiii. Project**

It's a planned collaborative enterprise to be executed over a fixed period and within certain budget sanctioned by an agency other than TERI University.

## **19.2 General**

**i. Extent of application**

The procedures in the Procurement Manual shall apply to the procurement of all stores. The procedures also cover service contracts that are arranged through procurement Section such as Annual Maintenance Contracts (AMCs), Custom Clearing Contracts, Consolidation Contracts, Erection and Commissioning contracts, etc.

**ii. Channels of Procurement**

Procurement of stores will in general be done by placing demands on the Procurement Section of TERI University. IT related procurement will be first approved by the IT Coordinator.

**iii. Objectives:**

- To ensure that only goods and services which are essential and actually required by the university are procured.
- To ensure that goods and services are procured in a timely manner, have the right quality and at the right prices.

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- To ensure that payment is made only for the goods and services actually received.

#### **iv. Economy**

Purchases of stores must be made in the most economical manner and in accordance with the definite requirements. Care should also be taken not to purchase stores much in advance of actual requirements, if such purchase is likely to prove unprofitable to the University and thus locking up of capital in stock should be minimized.

#### **v. Budget**

- All purchases are to be made strictly against budgets approved by BoM/Project budgets. All items are to be purchased against approved budget heads.
- A Departmental Committee under the HoD should decide the technical specifications of the equipment to be procured in consultation with the indenter/user. The committee will certify the proprietary nature of equipment, if any.
- In case equipment is to be purchased from the consumable budget, the required funds have to be reapportioned to the capital head before initiating such purchases. This transfer has to be approved by competent authority.

### **19.3 Organization & Responsibility**

Procurement Section shall be responsible to the Registrar, for the procurement, receipt, inspection, distribution and accounting of all the items procured by the TERI University.

### **19.4 Purchase Policy**

- For high value items, and where economically sensible, all efforts should be made to purchase directly from the manufacturer. If the manufacturer is not selling directly, purchases can be made from authorized distributor/retailer.
- Purchases shall be made from reliable, quality assured suppliers.
- All items are to be purchased through orders except in cases of materials/items approved for cash purchases, if any.
- Preference shall be given to green products if the costs are not more than 10% higher than the alternative.
- Bear in mind life cycle costing when comparing capital items for purchase.
- No advances shall be payable against orders. In cases where advances cannot be avoided the same shall be paid as laid down later.



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## 19.5 Purchase Requisitions

Purchase shall be made against an authorized Purchase Requisition (PR). The purchase requisition shall be made in the prescribed format/online placed at Annexure 1 by the concerned store in-charge/indenter. The requisition shall indicate whether the item to be purchased is indigenously available or would need to be imported. It shall also convey the exact specification of items, including their quality and quantity, required along with the date by which the items are required and the place at which they are required. Once a demand is raised by any user, the request shall be processed and approval/disapproval for the requisition shall be given within 03 working days - after ascertaining the availability of items as well as requisite funds.

Urgent purchase requisitions shall be made as an exceptional case to meet unforeseen or sudden requirements. The reason for urgent requisition shall be mentioned in the requisition. The urgent requisitions shall be approved by the Pro VC/VC. Urgent requisitions shall be processed on priority basis for materialization within the least possible time.

An indenter can cancel a purchase requisition before it is authorized by Financial Authority. Procurement Section can cancel an authorized requisition with a written request from the indenter.

## 19.6 Tendering

### i. Purchase of goods and services without bids

(a) Purchase of goods and services up to the value of Rs. 20,000/- (Rupees twenty Thousand) only, may be made without inviting quotations or bids on the basis of a certificate to be recorded in the following format.

"I, \_\_\_\_\_, am personally satisfied that these goods/services purchased are of the requisite quality and specification and have been purchased from a reliable supplier/service provider at a reasonable price."

(b) On special occasions, purchases above 20000/- with single quotation from a selected vendor may be resorted to with express approval of Pro VC/VC on the requisition.

### ii Conditions for Invitation where approval for single quotation does not exist:-

- When stores are purchased from contractors, the system of open competitive tender should normally be the preferred mode, except where otherwise permissible under the rules and the purchase should be made from the lowest tenderer.
- Quotations will be invited from suppliers in the approved vendor/supplier list and from other reputed manufacturers.

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- Only single bid system for inviting quotations will be used where both technical and commercial bids will be combined in the same document.
  - .Orders valued more than Rs 20,001- and up to Rs 50,000/- shall be made with at least two quotations.
  - For orders valued more than Rs 50,000/-, there should be minimum three quotations in writing.
  - For purchases valuing more than Rs 25,00,000/- a formal tendering process will be followed.

### **iii. List of approved suppliers**

- A list of all approved vendors/suppliers is to be available with the Procurement Section.
- A new supplier shall be observed for his/her performance for one year before including his/her name in the approved supplier list. Proper source knowledge and identification of suitable suppliers capable of meeting the product quality required by University are vital functions for ensuring procurement of quality goods.
- It is essential that the credentials of the firms applying for registration, including their financial status, the manufacturing and quality control facilities, the business ethics and their market standing are thoroughly scrutinized before registering them as an approved source of supply.
- If a supplier repeatedly fails to perform, causes inordinate delays, supplies substandard materials, fails to replace or rectify/settle discrepancies within a reasonable period of time, such supplier shall be delisted from the approved list of suppliers for a period of two years. Pro VC/VC shall approve delisting on the recommendation of Registrar and the indenter who is affected by the performance of the supplier.

### **iv. Removal from the List of the Approved Suppliers**

- If a supplier is found guilty of bribery, corruption, dishonesty, malpractice, forgery of documents, supply of spurious materials, fails to refund money due to the University, such supplier shall be blacklisted.
- Whenever a firm is found lacking in performance in terms of response, delivery compliance, capacity, quality standards, ethics or any other valid reason, the firm may be removed from the list .
- When the misconduct of a firm or its continued poor performance justifies imposition of ban on business relations with the firm, this action should be taken.

### **v. Negotiation**

Negotiation shall be carried out with the potential supplier to get the best possible deal. Negotiation shall result in a win-win situation for a long-term relationship. The points that shall be taken up for negotiation include price, delivery period, place of delivery, payments, after sales service, quality, etc.

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Negotiation for orders up to value Rs 50,000/- shall be carried out by Procurement Section and the indenter.

A three members Purchase Committee comprising the following shall carry out negotiations for orders valued above Rs 50,000/-.

- Faculty member/Admin Staff/IT Rep
- Finance Member
- Indenter/Dept Rep

The minutes of negotiation meeting of Purchase Committee shall be documented signed by the members. The committee will be required to survey the market to ascertain the reasonableness of rate, quality and specifications and identify the appropriate supplier. Before recommending placement of the purchase order, the members of the purchase committee should jointly record a certificate as under:

"Certified that we, \_\_\_\_\_, members of the local purchase committee have negotiated with the firm(s) and are jointly and individually satisfied with the material rates and terms of the supplier\_\_\_\_\_."

When negotiations do not yield the desired result counter offer shall be made to the suppliers who are participating in the tendering. Order shall be placed with the supplier who responds to the counter offer favorably.

#### **vi. Processing of Orders**

After finalization of the terms and conditions for the procurement of an item with a supplier, Comparative Statement is made and Purchase Approval is prepared for obtaining formal approval from competent authority for releasing Purchase Order. Sample copy of Purchase Order is placed at Annexure 2

Three copies of the order shall be generated. Original copy will go to the supplier, the second copy will be sent to Accounts Section along with the invoice after receipt Of material. Third copy will be the record copy in the procurement Section.

Purchase order should not be split to avoid the necessity for obtaining the sanction of the higher authority required with reference to the total amount of the orders.

#### **Vii Purchase of goods directly under Contract**

Goods for which TU already has a rate contracts/contracts can be procured directly from the suppliers. While resorting to such procurement it should be ensured that the prices to be paid for the goods do not exceed those stipulated in the contract and the other salient terms and conditions of the purchase are in line with those specified in the contract.

Wherever contracts/rate contracts are entered into with the selected vendor the signing of contract to be made mandatory prior to release of payment. A mention of the same be made in the Purchase Order.

#### **viii. Amendment/Cancellation of Orders**

Orders shall be amended when suppliers request for modification in the rate, or inclusion of freight/handling/packing charges, etc subsequent to placement of order.

Registrar shall approve amendments of orders where there is no financial implication.

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Amendments to orders with financial implication shall be carried out as mentioned at Chapter XX.

Orders placed on suppliers shall be cancelled with the permission of the indenter and Registrar and a Cancellation note be generated for the same for record.

Supplementary/amendment Orders placed should clearly indicate the original PO details.

When an order is to be cancelled wherein an advance is paid to the supplier, it is to be ensured that the advance amount paid is returned before the cancellation process is initiated.

#### **ix. Repeat Orders**

A repeat order can be placed within a period of one year of receipt of material provided the terms and conditions of the order do not change and the total order value is not more than Rs 50,000/-.

#### **x. Cash Purchases**

By and large, payments should be made using cheques, credit cards or online payment methods and cash purchases may not to be resorted to in normal circumstances. However, wherever it is unavoidable an expenditure up to Rs 2000/- (per transaction) may be resorted to with prior permission of the competent authority under the following conditions:-

- Quantity required is very less and of immediate nature.
- Indenter is not able to provide the correct specifications.
- Item not available on credit.

For Cash purchases the cash is to be withdrawn against Cash Purchase Approval.

The amount of each withdrawn shall be settled within seven days.

### **19.7 Terms & Conditions of Purchase (To be enclosed with PO)**

**MATERIAL:** All goods are to be supplied in accordance with description /specification given. No deviation from specifications is permitted without approval by the University in writing.

**PRICE:** Price quoted by suppliers and accepted by the University are final and no deviation there from will be accepted without University's specific agreement in writing.

**DELIVERY:** The time quoted for completion is to be strictly adhered to. The order is liable to cancellation if delivery is not made by the specified date.

**INSPECTION:** University reserves the right to inspect the goods on this order, but such inspection does not relieve the suppliers of their responsibility for defects in material and/or workmanship and for delivery of the goods in accordance with the specifications given. Goods rejected shall be removed by the supplier at supplier's own expense within 15 days of our intimation. Same question

**DESTINATION:** Please note the destination of the material as given in the face of the order. Demurrage or other expense incurred owing to supplier not complying with our

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instructions will be on the supplier's account and shall be deducted from the invoice before payment.

**FREIGHT:** Rail, air, road freight should be prepaid by the supplier and included in their bill along with necessary documentary proof. The RRs/Way bills must be mailed direct to the consignee.

**AIR CONSIGNMENT:** In case of dispatch by air, the dispatch particulars such as consignment Note No./ Air Way Bill No., Flight name and No., Actual invoice value, etc. must be communicated to TERI University immediately by fax/e-mail by the Supplier.

**CHALLANS:** Challans in duplicate should be submitted on delivery of materials or sent along with RRs/Way Bill. One copy will be returned after acknowledgement of receipt of materials and the other will be retained by the consignee.

**LOCAL DELIVERY:** Delivery of materials should invariably be taken by the designated person whose signatures should be provided on challans to facilitate payment of bills.

**INVOICES:** Pre-receipted Bills in triplicate should be submitted to Procurement Section.

**TRANSIT RISK:** Transit risk for materials by rail, road or otherwise will be on supplier's account. The supplier will directly lodge any claim and receive the costs from transporter, insurance company, etc. The University will make payment against bills only on receipt of material in good condition.

**JURISDICTION:** Delhi.

**ARBITRATION:** All disputes of differences whatsoever arising between parties out of or relating to the construction, meaning and operation or effect of this contract or the breach thereof shall be settled by arbitration in accordance with Rules of Arbitration of the Indian Council of Arbitration and the award made in pursuance thereof shall be binding on the parties.

**PERSONAL ENQUIRIES REGARDING PAYMENT:** As a rule, personal enquiries regarding payment are discouraged. However, if any enquiries are to be made, they will be entertained by the Accounts Section on working days from Monday to Friday between 2.00pm and 4.00pm only.

**PENALTY:** Penalty @1% per week subject to a maximum of 10% of the order value shall be applicable on all deliveries made after the delivery date.

**GURANTEE/WARRANTY:** All equipment /material with all accessories shall be guaranteed against the operational failure or deficiency in output due to design or mechanical failure due to faulty materials or bad workmanship for minimum period of 12 months from the date of installation by the Supplier.

**PAYMENT:** Within 30 days after confirmation of receipt of material in good condition against pre-receipted bills in triplicate rounded off to the nearest rupee. Part bills shall not be entertained.

**ENQUIRIES:** Please quote the purchase order number and date on all challans, invoices, and correspondences.

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CONTRACT Wherever a separate written contract between parties are entered into, payment shall be released only after the contract has been signed between TERI University and the party/vendor.

## **19.8 Receipt of Store**

### **i. Categorization & Codification**

The System inherited from TERI shall be followed till further order.

### **ii. Stores Catalogue**

All items procured at one time or other are to be made available in the item master ledger along with its specifications. A copy of which shall be available with the Finance Officer & Store in Charge all the time. IT store items will be copied to the IT Coordinator.

### **iii. Receipt of Stores**

All items shall be received in stores against purchase orders vide delivery challans.

A register is to be maintained at the Main Gate by the Security Staff where all items entering the University are to be recorded along with Challan details. The register is to be put up to procurement section once in every month for reconciliation.

The procurement section is to maintain an Inward Registrar containing all details of PO, Challan/Invoice Nos, Item details etc. and generate the Asset Code which is to be used for referring the item for all practical purpose. Items entered in the inward registrar are required to be issued to the Store Room and Indenters with proper receipt. A copy of the challan shall be returned to the supplier duly acknowledged after physical verification of the material against purchase order.

The indenter will be intimated about the arrival of the materials and he/she may collect the materials from procurement section.

### **iv. Receiving Inspection**

All received materials shall be subjected to inspection.

All received materials shall be verified against purchase order for quantity, physical damage, or any other discrepancy by the indenter and procurement section.

Catalogue items and general stationery shall be verified for quality against catalogue number and specifications respectively.

For special items inspection shall be arranged with the Indenter.

If any item received is in excess /less the procurement Section shall issue a debit/credit note.

Certification of goods & services received:-

Quantity	Indenter/Procurement Section
Quality	Indenter
Consumable items, stationary,	Store
House keeping (non chemical)	

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Special chemical, glassware, Research Equipment/instrument	PI/HOD
IT and related items	IT Coordinator
Office equipment, furniture, etc.	AGM
Scientific equipment/instrument	PI/HOD

## 19.9 Payments

Payment shall be released for the quantity of material received in good condition.

Challan/ Invoice shall carry proper authorization for the receipt of material in good condition.

Procurement Section will forward the accounts copy of the order and invoice/ challan to Accounts division for payments.

Supplier's cheques shall be dispatched/delivered to the supplier under intimation to procurement Section.

As a rule no payment shall be made in advance. In cases where supplier insists for advance payment, the same shall be made subject to approval of VC/Pro VC (100%) and Registrar (50%).

Registrar shall authorize advance payments of upto 100% of order value against Bank Guarantee.

## 19.10 Issue of Stores

All materials procured are issued for consumption through duly authorized Issue Slips.

For non-stock items receipt-cum-issue method shall be used.

Stationery items like punch, stapler, calculator, etc shall be issued only once. If any of these items get damaged (not due to mishandling) the same may be replaced. These items are to be returned by a person when he/she leaves the services of TERI University.

Issue slips Authorization:-

Project/scientific Stores	PI/HOD
Admin Store/Stationery/housekeeping	AGM

## 19.11 Assets

All equipment/instrument/furniture/fixtures above Rs 5000/- shall be classified as an asset.

An asset register shall be maintained for recording the receipts of assets serially.

Asset verification shall be done every year in the month of April. The Registrar shall constitute a team to carry out the physical verification of assets. One member from the accounts Section should be part of the verification team. Discrepancy shall be

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adjusted after reconciliation and due authorization by Pro VC/VC. Finance Officer to reconcile the property based on the final report.

**Accounting:** An indenter has to sign the delivery challan/invoice of the asset for the receipt of the same and inform the location in writing at the time of endorsing the challan/invoice for receipt. The PI/HOD becomes the original custodian of the asset in the department/laboratory. However, the asset is the property of the University

**Serviceability:** When an asset is moved from its original location to a new location, the same has to be informed to update the records. When a person who is in charge of an asset leaves the services of University or transfers the assets to a new area/location, he/she has to properly hand over the charge to the new custodian of the asset and the document by which the transaction is carried out will have to be signed by both the parties.

**Disposal of unserviceable items:** If any asset is not in a working condition, efforts have to be made to repair the same through project funds. If the item is beyond economical repair, i.e. the cost of repair is beyond 50% of the cost of the asset, the same has to be written off from the books of accounts. It would be the responsibility of the custodian of an asset to recommend write off/disposal action to the Registrar. The recommendation of a professional committee be obtained before approval accorded by financial authority as laid down in Chapter 20.

### **AMC**

Need for annual maintenance contract for the equipment /instrument is decided by the custodian of the asset.

If AMC is found to be necessary for an asset proposal for AMC is invited from the manufacturer/authorized agent of the manufacturer. If manufacturer/authorized agent is not present AMC proposal will be collected from other competent agencies. The competency will be verified from their expertise in providing services to similar instruments/equipment. The competence will also be verified from other customers of the agent whom they provide services. Rate, payment and other terms and conditions of the contract shall be negotiated with the manufacturer/agent in consultation with the custodian of the asset. The essential elements of AMC that are to be verified while entering into AMC with any manufacturer/agent are given below:-

AMC period

AMC amount

Number of preventive maintenance visits

Number of breakdown repair visits

Response time once a complaint is registered

Comprehensiveness of the contract (included spares or not)

Activities/items that excluded from the contract

Willingness to accept the AMC proposal is required to be communicated to the manufacturer/agent in writing through an order and the contract has to be signed.

The manufacturer/agent should submit their invoice and payment is to be released on agreed terms.



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A logbook for each of the instrument shall be kept by the custodian of the asset to record the performance of the contract.

### **Gate Pass**

An item can be taken out of TERI University premises only through a Gate pass. There are two types of gate passes. Returnable gate pass and Non-returnable gate pass.

All items taken against a returnable gate pass shall be brought back within the date prescribed in the gate pass and due acknowledgement obtained from the person who issued the gate pass.

All the gate passes will be authorized by the Custodian & countersigned by Procurement Section & Security Officer. Gate pass will have three copies. Original is to be issued to the person who is carrying the material, second copy for the gate and third copy is for record of procurement section (book copy). All returnable gate passes will be monitored by the admin section.

Sr.
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Vasant Kunj, New Delhi

For

Procurement Section

**Purchase Requisition form**

Date: .....

**Requisition For:** (Tick in the appropriate Box)

<b><u>Non Project Purchase</u></b>								
Maintenance	<input type="checkbox"/>	Electrical	<input type="checkbox"/>	Consumables	<input type="checkbox"/>			
Services	<input type="checkbox"/>	Plumbing	<input type="checkbox"/>	Import	<input type="checkbox"/>			
IT	<input type="checkbox"/>	Print/Advertisement	<input type="checkbox"/>	Propriety Item	<input type="checkbox"/>			
Chemical	<input type="checkbox"/>	Hardware/Wood/Furniture	<input type="checkbox"/>	Outreach/Marketing	<input type="checkbox"/>			
Equipment/Engineering	<input type="checkbox"/>	Stationery	<input type="checkbox"/>	Others	<input type="checkbox"/>			

TU Code: 2016TU01

<b><u>Project Purchase</u></b>
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Maintenance	<input type="checkbox"/>	Electrical	<input type="checkbox"/>	Consumables	<input type="checkbox"/>			
Services	<input type="checkbox"/>	Plumbing	<input type="checkbox"/>	Import	<input type="checkbox"/>			
IT	<input type="checkbox"/>	Print/Advertisement	<input type="checkbox"/>	Propriety Item	<input type="checkbox"/>			
Chemical	<input type="checkbox"/>	Hardware/Wood/Furniture	<input type="checkbox"/>	Outreach/Marketing	<input type="checkbox"/>			
Equipment/Engineering	<input type="checkbox"/>	Stationery	<input type="checkbox"/>	Others	<input type="checkbox"/>			

Project Code: .....

Provide justification, if recommending for propriety items:-

.....  
 .....

S.no	Detailed Specification	Make	Unit	Quantity	Approx Cost	Required by (Date)	Purpose/Justification

Indenter Name :-  
.....

Indenter Signature:-

Please attach recommended vendor's list ( if any)  
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For Finance Department

Budgetary Provision available :- Yes / No

Date \_\_\_\_\_  
.....

Signature

(for Finance)


Date \_\_\_\_\_

Approved by  
AGM/PI/HoD/ Dean/Registrar/ProVC/VC

Note:- Ten working days will be required to process PR for non-tendering items.

Annexure -2

**PURCHASE ORDER(Sample)**

	<b>TERI University</b> Plot 10, Institutional Area, Vasant Kunj, New Delhi – 110 070, New Delhi, INDIA	Tel. 91-11-71800222 Email. <a href="mailto:Procurement@teriuniversity.ac.in">Procurement@teriuniversity.ac.in</a> 11-16122874				
<b>Purchase Order</b>						
<b>Order No</b> :201600265						
<b>Order Date</b> :21-Jan-2017						
To: M/s						
Tele No. Fax No. E-mail ID:	1. Terms and conditions placed overleaf 2. Delivery by 10-Feb-2017 3. Payment 4. Supplier Quotation Ref.: DEL-1016-10916					
Please supply the following items as per the terms and conditions mentioned below and also on the reverse, which are an integral part of the purchase order						
No.	Material and specification	Item code	Quantity	Unit	Rate (Rs)	Amount (Rs)
1						
2						
3						
	Freight charges					
	Packing					
	Total					

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## **Chapter XIX – Financial Authority**

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### **20.1 Authority for approval of Purchase Requisitions (PR):**

All purchase requisitions are authorized subject to budgetary provisions.

#### **19.1.1 Project/Budgeted Research expenditures**

Stores including chemicals, glassware and other miscellaneous lab items

Up to Rs 1,00,000/-	PIs/HODs
Above Rs 1,00,000/- to Rs 5,00,000	Registrar/Dean
Above Rs 5,00,000	Pro VC /VC

Hardware & Scientific Equipment (Project related)<sup>4</sup>

Up to Rs 5,00,000/-	PIs/HODs
Upto Rs 7,00,000/-	Registrar/Dean
Above Rs 7,00,000/-	Pro VC/VC

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<sup>4</sup> Director (Smart Initiatives) should be consulted for any IT and software related purchases

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### 19.1.2 Non Project expenditures

Capital Equipment/General pool items/Stock/Stationery/Maintenance/House Keeping /Admin related/All other non-project items

Up to Rs 50,000/-	AGM/Sr Manager/IT Coordinator
Above Rs 50,000/- to Rs 5,00,000/-	Registrar/Director (Smart Initiatives)
Above Rs 5,00,000 /-	Pro VC/VC

Books & periodicals

Upto Rs 1,00,000/-	Library Committee
Above Rs 1,00,000/-	Pro VC/VC (On recommendation of Library Committee)

## 20.2 Financial Powers

- a) Up to Rs. 2,50,000/- (single order) AGM/ Registrar/
- b) Rs.2,50,000/- to Rs 5 lakhs (single order) Registrar/Pro VC
- c) Above Rs.5,00,000/- Pro VC/VC

All IT related purchases upto Rs 5 Lakhs would be approved by the Director (Smart Initiatives)

### 19.2.1 Purchases with single Quotation (Special cases)

Up to Rs 1,00,000/-	Procurement coordinator/Registrar
Above Rs 1,00,000/-	Registrar/Pro VC/VC

### 19.2.2 Imports:

All imports irrespective of value are to be approved by the Pro VC/Vice Chancellor

### 19.2.3 Amendments to purchase orders

A) Foreign orders with financial implications – Pro VC/VC

B) Others

Without financial implications	Registrar
With financial implications	
Up to Rs 100,000/-	Registrar
Rs 1,00,001/- to Rs 5,00,000/-	Registrar/ Pro VC
Above Rs 5,00,001/-	Pro VC/VC

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19.2.4 Breakage/spoilage in stores and / write- off of unserviceable equipment /instrument

Up to Rs 5,00,000/-

Registrar/Pro VC

Above Rs 5,00,001/-

Pro VC/VC

19.2.5 Shortage/Excess adjustments after physical verification

Up to Rs 2,00,000/-

Registrar/ Pro VC

Above Rs 2,00,001/-

Pro VC/VC

**First named person has the sanctioning authority. During the absence of a person specified in the authority schedule his/her immediate superior will be the sanctioning authority.**

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## **Chapter XX – Miscellaneous Information**

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### **21.1 Fire safety**

All employees will ensure that they observe precautions to prevent the occurrence of fire and bring to the notice of the Vice Chancellor/Registrar any suggestion that will be of help in improving fire safety.

### **21.2 Identity cards**

All employees are required to carry the TERI-University Identity Card with them. Loss of the card should be immediately brought to the notice of the Registrar. Replacement of identity cards will be made available on payment basis.

### **21.3 Address list**

An Address list of TERI University employees , consultants, adjunct/visiting faculty etc. will be compiled and distributed periodically by the Registrar's office. This would include residential telephone numbers for contact during non-working hours if required. Changes in residential address and telephone numbers, if any, should be made available to the Registrar to facilitate updating of the address list and office records.

### **21.4 Expenditure and procurement**

All employees will be aware of procurement process and corresponding financial powers of various authorities laid down in University Procurement Manual.

### **21.5 Visiting Cards**

Visiting cards will be made available to all University Authorities, faculty and senior staff members (manager and above)

### **21.6 Clearance Certificate**

All employees leaving TERI University service are required to hand over all work related files/papers/knowledge to a designated person. She/he is also required to tender a clearance certificate, which is available with the office of the Registrar prior to settlement of their accounts.

### **21.7 Conservation and Economy in Expenditure**

All employees are expected to exercise maximum economy in expenditure and resort to practices that will conserve resources.

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## **21.8 Electricity**

All fans/lights/air-conditioners/equipment should be switched off, if not being used in the normal course of work. This practice should be followed while leaving office/laboratory for short intervals and particularly at the end of the day's work. Instructions may be left with the attending electrician for keeping certain lights/equipment switched on after the office working hours, in case these are required for research/experimental work.

## **21.9 Events/Student trips**

Budgets for such activities must be prepared in advance and all efforts made to raise funding for these. All expenditures and services requisitioned must follow the procurement process of the University. One faculty member at the level of Associate Professor or above and one Assistant Professor/Lecturer must be part of all student trips involving more than 10 students.

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