






<b>7.1.10</b> <b>Q<sub>n</sub>M</b>	<b><i>The Institution has a prescribed code of conduct for students, teachers, administrators and other staff and conducts periodic programmes in this regard.</i></b>	<b>5</b>
	<ol style="list-style-type: none"> <li>1. The institutional Code of Conduct principles are displayed on the website</li> <li>2. There is a committee to monitor adherence to the institutional Code of Conduct principles</li> <li>3. Institution organizes professional ethics programmes for students, teachers, administrators and other staff</li> <li>4. Annual awareness programmes on Code of Conduct are organized</li> </ol> <p><b>Options:</b></p> <ol style="list-style-type: none"> <li>A. All of the above</li> <li>B. Any3 of the above</li> <li>C. Any2 of the above</li> <li>D. Any1 of the above</li> <li>E. None of the above</li> </ol> <p><b>Upload:</b></p> <ul style="list-style-type: none"> <li>• Code of conduct and ethics policy document</li> <li>• Details of the monitoring committee composition and minutes of the committee meeting, number of programmes organized, reports on the various programs etc., in support of the claims.</li> <li>• Any other relevant information</li> </ul>	    

#### Documentation

Policy document on code of ethics.

Constitution and proceedings of the monitoring committee.

Circulars and geo-tagged photographs with date and caption of the activities organized under this metric for teachers, students, administrators and other staff.

Document showing the Code of Conduct for students, teachers, governing body and administration as approved by the competent authority. Handbooks, manuals and brochures on human values and professional ethics

Report on the student attributes facilitated by the Institution

Web-Link to the relevant documents on the HEI website.

#### TEXT

1. All students are required to sign an Honour Code on Admission ([Annexure 7.1.10.A](#)). It is included in the Students Handbook (1). The handbook also includes the following:

(a) A chapter on Student Disciplinary Committee that lists the range of minor punishment and major penalties ([Link](#) to the corresponding webpage).

(b) A chapter on Committee for Grievance Redressal ([Link](#) to the corresponding webpage)

2. Board of Management approved the following rules in its 23rd meeting on 1st March 2017 ([Link](#) to Minutes; [Link](#) to Compendium of Rules, [Annexure 7.1.10.B](#)):

(a) Chapter VII Conduct Rules

(b) Chapter VIII Faculty: Academic Rights, Responsibilities & Discipline Procedures

(c) Chapter IX Staff: Discipline Rules

3. Committee for Grievance Redressal ([link](#)) submits a confidential Annual Report to the Registrar (included under metric 2.5.2). Same is followed by the Committee on Student Discipline ([link](#)). They maintain records through Minutes of meetings. These can be shown to the visiting Peer Team from NAAC. At times, it presents its findings and recommendations before the Academic Council. One example is Agenda no. 10 in the Minutes of 48th meeting ([Link](#) to the minutes of meeting).

4. Disciplinary action had been taken against staff members too. These are confidential in nature. Reports will be shown to the Peer Team from NAAC, if required.

5. “The program instills values and professional ethics in the student” is one of the questions asked to the teachers during the Annual Feedback. ([Link](#) to document on Feedback through Structured Questionnaire)

6. Academic courses focusing ‘Professional Ethics’ are mandatory part of curriculum for the students in different post-graduate programmes at TERI SAS. A few course outlines are listed below for reference:

Course name	Programmes in which course is offered	Module name	Link to course outlines
Research and Publication Ethics	<a href="#">PhD Course Work</a>	Publication Ethics & Best Practices	<a href="#">Link</a>
Methods of Research in Economics	<a href="#">MSc Economics</a>	Expressions for a proposal	<a href="#">Link</a>
Qualitative research methods and technical writing	<a href="#">MTech in REEM</a>	Introduction to qualitative research	<a href="#">Link</a>
Social Research Methods	<a href="#">MA in SDP</a>	Foundations of Social Research	<a href="#">Link</a>
Business Ethics	<a href="#">MBA (Sustainability Management)</a>	Introduction to Business Ethics; Moral Framework for Ethics /Ethics in Business; Moral Framework for Ethics/Ethics in a Global Economy; Moral Framework for Ethics/Ethics and Environment	<a href="#">Link</a>
Research Methodology and Thesis Writing	<a href="#">MSc (ESRM)</a>	Introducing Research and Research Methodology	<a href="#">Link</a>

7. “To understand ethical principles and commitment to professional ethics and responsibilities” states one of the learning outcomes of one ‘Minor Project’ course ([Coure Outline](#))

8. To dilate updated knowledge, issues and awareness about the sanctity of the academic publication and ethics in research and public policy, TERI SAS keeps organizing the talks, webinar/seminar, workshops etc. using different occasions/platforms. A glimpse of such events (archived on the TERI SAS [website](#)) follow:

Title	Date	Links
Good Publication Ethics - A talk by Arun S. Kharat	12 February 2020	<a href="#">Link</a>
Ethics in Public Policy - A workshop; speaker: S. P. Gautam	02 November 2017	<a href="#">Link</a>
Philosophy of Biology and Ethics in Biology Research and Education - A talk by Kambadur Muralidhar	26 September 2016	<a href="#">Link</a>

### THE STUDENT'S HONOUR CODE

1. I ..... registration no. .... do hereby undertake that as a student at the TERI SAS: -
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 TERI SAS 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 TERI SAS 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 TERI SAS 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/TERI SAS 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 TERI SAS Policy on Equality, Diversity and Inclusion.
- 2.10 Theft or Damage to Property or Services & Disruption of activities. Attempt to prevent the members of TERI SAS 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 TERI SAS policy on the issue.
- 2.14 Failure to obey instructions of any TERI SAS disciplinary authority. Failure to comply with written or oral communications from an authorized TERI SAS official to appear for a meeting or hearing.
- 2.15 Engage in any conduct which is unbecoming of a student of the TERI SAS.

Date .....

Place.....

Student's  
signature.....

Name  
.....

Registration  
No.....

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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.

- 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.

## 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).

## 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

## 8.1 Preamble

The TERI SAS 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 :

- 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;
  - significant intrusion of material unrelated to the course;

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- 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.

### 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 SAS / 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.

### 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.

- 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 good of the university requires such action. The grounds for termination of contract could include demonstrable professional incompetence, neglect of

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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.

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 SAS

- 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,

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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