

# HR POLICY MANUAL

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## **I. Annexures**

### **Annexure 1: Code of Professional Ethics for Teaching Faculty (COPE)**

In addition to the 'Code of Conduct prescribed for UPES Employees' under Code of Conduct, the teaching faculty in addition shall be required to abide by the following 'Code of professional Ethics' laid down by the University Grants Commission (UGC).

#### **1. Teachers and their responsibilities:**

1.1. Whoever adopts teaching as a profession assumes the obligation to conduct himself / herself in accordance with the ideal of the profession. A teacher is constantly under the scrutiny of his students and the society at large. Therefore, every teacher should see that there is no incompatibility between his precepts and practice. The national ideals of education which have already been set forth and which s/he should seek to inculcate among students must be her/ his own ideals. The profession further requires that the teachers should be calm, patient and communicative by temperament and amiable in disposition.

#### **1.2. Teachers should:**

- 1.2.1 Adhere to a responsible pattern of conduct and demeanor expected of them by the community;
- 1.2.2 Manage their private affairs in a manner consistent with the dignity of the profession;
- 1.2.3 Seek to make professional growth continuous through study and research;
- 1.2.4 Express free and frank opinion by participation at professional meetings, seminars, conferences etc. towards the contribution of knowledge;
- 1.2.5 Maintain active membership of professional organizations and strive to improve education and profession through them;
- 1.2.6 Perform their duties in the form of teaching, tutorial, practical, seminar and research work conscientiously and with dedication;
- 1.2.7 Co-operate and assist in carrying out functions relating to the educational responsibilities of the School and the University such as: assisting in appraising applications for admission, advising and counseling students as well as assisting the conduct of University and School examinations, including supervision, invigilation and evaluation; and

- 1.2.8 Participate in extension, co-curricular and extra-curricular activities including community service.

## **2. Teachers and the Students**

### **2.1. Teachers should:**

- 1.2.1 Respect the right and dignity of the student in expressing her/ his opinion;
- 1.2.2 Deal justly and impartially with students regardless of their religion, caste, political, economic, social and physical characteristics;
- 1.2.3 Recognize the difference in aptitude and capabilities among students and strive to meet their individual needs;
- 1.2.4 Encourage students to improve their attainments, develop their personalities and at the same time contribute to community welfare;
- 1.2.5 Inculcate among students scientific outlook and respect for physical labor and ideals of democracy, patriotism and peace;
- 1.2.6 Be affectionate to the students and not behave in a vindictive manner towards any of them for any reason;
- 1.2.7 Pay attention to only the attainment of the student in the assessment of merit;
- 1.2.8 Make themselves available to the students even beyond their class hours and help and guide students without any remuneration or reward;
- 1.2.9 Aid students to develop an understanding of our national heritage and national goals;
- 1.2.10 Refrain from inciting students against other students, colleagues or administration.
- 1.2.11 Take notice of any unbecoming & unruly behavior or any act(s) of breach of discipline by a student or group of students and report the same promptly to the appropriate authority.

## **3. Teachers and Colleagues**

### **1.1. Teachers should:**

- 1.2.1 Treat other members of the profession in the same manner as they themselves wish to be treated;
- 1.2.2 Speak respectfully of other teachers and render assistance for professional betterment;

1.2.3 Refrain from lodging unsubstantiated allegations against colleagues to higher authorities; and

1.2.4 Refrain from allowing considerations of caste, creed, religion, race or sex in their professional endeavor.

#### **4. Teachers and Authorities**

##### **4.1. Teachers should:**

- a. Discharge their professional responsibilities according to the existing rules and adhere to procedures and methods consistent with their profession in initiating steps through their own institutional bodies and/or professional organizations for change of any such rule detrimental to the professional interest;
- b. Refrain from undertaking any other employment and commitment including private tuitions and coaching classes which are likely to interfere with their professional responsibilities;
- c. Co-operate in the formulation of policies of the institution by accepting various offices and discharge responsibilities which such offices may demand;
- d. Co-operate through their organizations in the formulation of policies of the other institutions and accept offices;
- e. Co-operate with the authorities for the betterment of the institutions keeping in view the interest and in conformity with dignity of the profession;
- f. Should adhere to the conditions of contract
- g. Give and expect due notice before a change of position is made; and
- h. Refrain from availing themselves of leave except on unavoidable grounds and as far as practicable with prior intimation, keeping in view their particular responsibility for completion of academic schedule.

#### **5. Teachers and Non-Teaching Staff:**

5.1. Teachers should treat the non-teaching staff as colleagues and equal partners in a cooperative undertaking, within every educational institution; and

5.2. Teachers should help in the function of joint staff-councils covering both teachers and the non-teaching staff.

#### **6. Teachers and Guardians**

Teachers should try to see through teachers' bodies and organizations, that institutions maintain contact with the guardians, their students, send reports of their performance to the guardians whenever necessary and meet the guardians in meetings convened for the purpose for mutual exchange of ideas and for the benefit of the institution.

## **7. Teachers and Society**

### **7.1. Teachers should:**

- a. Recognize that education is a public service and strive to keep the public informed of the educational programmes which are being provided
- b. Work to improve education in the community and strengthen the community's moral and intellectual life;
- c. Be aware of social problems and take part in such activities as would be conducive to the progress of society and hence the country as a whole;
- d. Perform the duties of citizenship, participate in community activities and shoulder responsibilities of public offices;
- e. Refrain from taking part in or subscribing to or assisting in any way activities which tend to promote feeling of hatred or enmity among different communities, religions or linguistic groups but actively work for National Integration.

## **Annexure 2: Acknowledgement Form for Code of Conduct (UPES – Way of Life)**

To,  
Director - HR,  
University of Petroleum and Energy Studies,  
Bidholi, Via Prem Nagar,  
Dehradun, Uttarakhand 248007

Dear Sir / Madam,

I, Mr. / Ms. \_\_\_\_\_, (designation), have received, read and understood the Code of Conduct stated in the UPES- Way of Life.

I solemnly affirm that to the best of my knowledge and belief, I will fully comply with the provisions of the Code of Conduct and the Principles of Engagement, during the course of my employment at UPES.

I hereby acknowledge that I have been made aware that I can contact the Reporting Manager or any other member of the University of UPES for any clarification that I may require.

Signature:

Employee Name:

Employee ID No.:

Place:

Date:

### Annexure 3: Job Description Format

<b>Job Title:</b>			
Department / School:			
Location:		Designation:	
Brief description:			
Reporting Structure	Role directly reports to:	Positions reporting to this role:	
Essential Qualifications			
Essential skills / experience			
Key Roles / responsibilities:			
<ul style="list-style-type: none"> <li></li> <li></li> </ul>			
Behavioral competencies:	<ul style="list-style-type: none"> <li></li> </ul>		
Technical / Functional competencies:	<ul style="list-style-type: none"> <li></li> </ul>		
	<b>Name</b>	<b>Designation</b>	<b>Date</b>
Prepared by:			
Reviewed by:			



### Annexure 4-A: Interview Evaluation Form for Faculty

Interview Evaluation Form	
Personal Details	
Name:	
Position Applied For:	
Source of CV:	
Department / School:	
Academic Qualifications:	
Total Years of Experience:	
Current Company/ Institute/University	
Current Designation:	
Current Location:	
Notice Period:	

#### For Faculty Members:

Panel Interview –1		
Assess the candidate on the following parameters on a four-point scale as defined below: Rating Scale: 1 – Unacceptable; 2 – Marginal; 3- Meets Requirements; 4 – Outstanding		
Parameters	Interviewer 1	Interviewer 2
<b>Academic Discipline Expertise</b> Has sufficient credentials, industry expertise and/or experience in the domain to teach		
<b>Analytical Thinking:</b> The ability to approach a problem by using a logical, systematic, sequential approach		

<b>Communication and Interpersonal Skill:</b> Confidence, positive interaction, clarity and content in communication		
<b>Action Oriented:</b> Takes on new initiatives and tough challenges with a sense of urgency, high energy and enthusiasm		
<i>Any Other Competency (as required)</i>		
<b>Overall Rating</b>		
<b>Additional Comments</b>		
<b>Recommendations</b>	<b>Interviewer 1</b>	<b>Interviewer 2</b>
Recommendation (Shortlisted / Rejected / On Hold)		
Signature and Date		
Name		
Designation		
<b>Final Approval by Vice-Chancellor</b>		

<b>Demo Class in a Classroom Setup (If applicable)</b>			
Assess the candidate on the following parameters on a four-point scale as defined below: Rating Scale: 1 – Unacceptable; 2 – Marginal; 3- Meets Requirements; 4 – Outstanding			
<b>Parameters</b>	<b>Interviewer 1</b>	<b>Interviewer 2</b>	<b>Interviewer 3</b>
<b>Teaching Delivery/ Learning Facilitation Skills:</b> Manages small and large class, blended, hybrid and/or online			

class, ensures participation, manages time and attention effectively			
<b>Communicates Effectively:</b> Adapts oral and written communication approach and style to the audience and based on the message. Also listen attentively to others.			
<b>Student focus:</b> Places a top priority on understanding and meeting students learning needs. Motivated by the chance to improve students' success outside the institution.			
<b>Drives Engagement:</b> Makes students feel welcomed, understood and valued. Creates a learning environment that is compelling, challenging and productive.			
<i>Any Other Competency (as required)</i>			
<b>Overall Rating</b>			
<b>Additional Comments</b>			
<b>Recommendations</b>	<b>Interviewer 1</b>	<b>Interviewer 2</b>	<b>Interviewer 3</b>
Recommendation (Shortlisted / Rejected / On Hold)			
Signature and Date			
Name			
Designation			
<b>Final Approval by Vice-Chancellor</b>			

Panel Interview – 2			
Assess the candidate on the following parameters on a four-point scale as defined below: Rating Scale: 1 – Unacceptable; 2 – Marginal; 3- Meets Requirements; 4 – Outstanding			
Parameters	Interviewer 1	Interviewer 2	Interviewer 3

<b>Contribute knowledge to the discipline:</b> Compelled by the opportunity to contribute through research, scholarship professional practice or creativity.			
<b>Situational Adaptability:</b> Recognizes and adapts to situations that call for different approaches to the facilitation of learning, influencing, relationship building and leading			
<b>Cultivates Innovation:</b> Anticipates new issues and challenges, encourages diverse thinking, introduces new ways of looking at problems to explore creative opportunities.			
<b>Global, Cross cultural Perspective:</b> Works to optimize the contributions from diverse perspectives, experiences, backgrounds, cultural norms and way of communicating			
<i>Any Other Skills (as required)</i>			
<i>Any Other Skills (as required)</i>			
<b>Overall Rating</b>			
<b>Additional Comments</b>			
<b>Recommendations</b>	<b>Interviewer 1</b>	<b>Interviewer 2</b>	<b>Interviewer 3</b>
Recommendation (Shortlisted / Rejected / On Hold)			
Signature and Date			
Name			
Designation			
<b>Final Approval by Vice-Chancellor</b>			



### Annexure 4-B: Interview Evaluation Form for Non - Faculty

Interview Evaluation Form	
Personal Details	
Name:	
Position Applied For:	
Source of CV:	
Department / School:	
Academic Qualifications:	
Total Years of Experience:	
Current Company/ Institute/University	
Current Designation:	
Current Location:	
Notice Period:	

Interview –1		
Assess the candidate on the following parameters on a four-point scale as defined below: Rating Scale: 1 – Unacceptable; 2 – Marginal; 3- Meets Requirements; 4 – Outstanding		
Parameters	Interviewer 1	Interviewer 2
<b>Customer Focus:</b> Building strong customer relationships and delivering customer-centric solutions		
<b>Innovation:</b> Creating new and better ways for the organization to be successful		
<b>Drives Result:</b> Consistently achieving results, even under tough circumstances		

<i>Any Other Competency (as required)</i>		
<b>Overall Rating</b>		
<b>Additional Comments</b>		
<b>Recommendations</b>	<b>Interviewer 1</b>	<b>Interviewer 2</b>
Recommendation (Shortlisted / Rejected / On Hold)		
Signature and Date		
Name		
Designation		
<b>Final Approval by Vice-Chancellor</b>		

Panel Interview –2		
<p><b>Assess the candidate on the following parameters on a four-point scale as defined below:</b></p> <p><b>Rating Scale: 1 – Unacceptable; 2 – Marginal; 3- Meets Requirements; 4 – Outstanding</b></p>		
Parameters	Interviewer 1	Interviewer 2
<b>Collaborates:</b> Building partnerships and working collaboratively with others to meet shared objectives		
<b>Being Resilient:</b> Rebounding from setbacks and adversity when facing difficult situations		

<b>Instill Trust:</b> Gaining the confidence and trust of others through honesty, integrity and authenticity		
<b>People Leadership (for managers):</b> Leads by example when it comes to finding and developing talent with a focus on talent acquisition strategies, setting performance targets that raise Code and development of high potential talent		
<i>Any Other Competency (as required)</i>		
<b>Overall Rating</b>		
<b>Additional Comments</b>		
<b>Recommendations</b>	<b>Interviewer 1</b>	<b>Interviewer 2</b>
Recommendation (Shortlisted / Rejected / On Hold)		
Signature and Date		
Name		
Designation		
<b>Final Approval by Vice-Chancellor</b>		



## Annexure 5: Reference Check Format

Details of Candidate:	
Name of Candidate:	Position applied for:
Department / School:	Location:
Details of Reference:	
Reference Name:	Designation:
Company/ University Name:	Contact Details:
Mode of Reference Check: Telephone / Email:	
In what capacity do you know this candidate? How long?	
How would you rate the teaching expertise of the candidate (if applicable) on a scale of 1 to 5? 1 being the lowest and 5 being the highest?	
How would you rate the technical expertise of the candidate on a scale of 1 to 5? 1 being the lowest and 5 being the highest?	
How would you rate the overall performance of the candidate on a scale of 1 to 5? 1 being the lowest and 5 being the highest?	
How would you describe the candidate's behavior and professional attributes towards fellow colleagues?	

**Would you re-hire this candidate? If No, please comment**

--

**Would you recommend him / her to us? If No, please comment**

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	Name	Signature	Date
Reference Check done by:			

## Annexure 6: Letter of Intent

[Date]

Sub: Letter of Intent as [Designation]

Dear [Name],

Pursuant to our interactions, we are pleased to offer you the position of [Designation] with UPES. You will be based at [Location]. You will primarily be reporting to [Reporting Manager- Department/ Head of Department - Department].

Your annual salary will be INR [amount] Lacs, break-up of which and other terms of employment are provided in the Annexure.

During the period of employment, you will not associate in any manner with any organization without prior written approval of Authorized Signatory.

Further, you are required to act as per the Principles of Engagement of UPES and the Code of Conduct.

You are requested to submit the documents as a part of your joining formalities as mentioned in the attached Annexure. This offer is subject to submission of the mentioned documents, and successful reference checks.

Please send a signed and scanned copy of this letter to confirm the acceptance of the offer by [Date].

We welcome you to UPES and wish you a rewarding career with us.

With best wishes.

For UPES

Authorized Signatory

I accept the terms and conditions specified above.

Date:

Signature:

Name:

## Annexure 7: Induction Feedback Form

Induction Feedback Form			
Name		Employee ID	
Designation		Department / School	
<p>Rate the below mentioned statements on a scale of 1 to 5</p> <p>1 – I strongly agree with the statement; 2 – I agree with the statement; 3 – I neither agree nor disagree with the statement; 4 – I disagree with the statement; 5 – I strongly disagree with the statement</p>			
#	Statement	Rating	
1	I received my employment offer and associated information in a timely manner		
2	I knew where to report, who to see and felt welcomed on my arrival		
3	After completing the induction, I gained an understanding of UPES and its expectations from me		
4	My induction was helpful and informative		
5	I gained an understanding of UPES policies, code of conduct		
6	I gained an understanding of the UPES operations and where to look for more information		
7	I knew who to ask for help and was provided with assistance and support when I required		
8	I have met my colleagues / team members and others whom I work closely with		
9	My role was effectively explained and I feel well- informed about it		
10	I know how and when my performance will be evaluated		
11	I feel a part of UPES		

Suggestions for improvements in the Induction Process	
Signature	Date

## Annexure 8: Probation Assessment Form

Personal Details		
Employee Name:		Date of Joining:
Designation:		Reporting To:
Department / School:		
Location:		Confirmation Due Date:
Rating Scale		
5	Exceptional Achiever	Significantly exceeds expectations on all major aspects of KRAs
4	High Achiever	Consistently meets all major aspects of KRAs
3	Consistent Achiever	Meets most of the major aspects of KRAs, needs reasonable guidance
2	Needs Improvement	Meets some major aspects of the KRAs
1	Under Achiever	Meets few aspects of the KRAs

### A. Key Result Areas (KRAs)

KRAs	Description	Targets
KRA1:		
KRA2:		
KRA3:		
Sign Off		
Appraisee Signature		Date
Appraiser Signature		Date

**C. Interim Performance Review:**

KRAs	Achievement	Employee Self rating	Appraiser's rating
KRA1:			
KRA2:			
KRA3:			
<b>Overall Comment</b>			
Employee		Sign:	Date:
HOD/Reporting Manager		Sign:	Date:

**D. Probation Assessment -1**

KRAs	Achievement	Employee		Appraiser	
		Comment	Rating	Comment	Rating
KRA1:					
KRA2:					
KRA3:					
<b>Overall Comment</b>					
Employee		Sign:		Date:	
HOD/Reporting Manager		Sign:		Date:	
<b>Recommendation (Confirmation/ Extension)</b>					
Approving Authority		Sign:			

**E. Probation Assessment -2 (For faculty)**

KRAs	Achievement	Employee		Appraiser	
		Comment	Rating	Comment	Rating
KRA1:					
KRA2:					
KRA3:					
<b>Overall Comment</b>					
Employee		Sign:		Date:	
HOD/Reporting Manager		Sign:		Date:	
<b>Recommendation (Confirmation/ Extension)</b>					
Approving Authority		Sign:			

In case probation is extended and the employee is placed on Performance Improvement Program (PIP), relevant forms of PIP shall be used for evaluation



### **Annexure 9: Probation Confirmation Letter**

Date:

[Name of Employee]

[Location]

UPES

Subject: Confirmation Letter

Dear [Name],

With reference to your appointment letter dated \_\_\_\_\_, we are pleased to inform you that your employment with UPES has been confirmed with effect from \_\_\_\_\_ (date).

Kindly accept our congratulations on the same.

You shall be governed by the Principles of Engagement effective at the time of your appointment and to such policies as may be applicable from time to time.

Sincerely,

For UPES

Authorized Signatory

## Annexure 10: Probation Extension Letter

Date:

[Name of Employee]

[Location]

UPES

Subject: Extension of Probation Period

Dear [Name],

Based on the discussions held with you during your probation assessment review on \_\_\_\_\_ (date), the University is of the view that you require further improvements in various areas like:

- 1.
- 2.
- 3.
- 4.

I appreciate your realization on some of your shortcomings in your performance during the probation period of your appointment and noting your willingness to improve those weaknesses to excel in deliverable in the coming months, I would like to extend your probation period for \_\_\_\_ months until \_\_\_\_\_ (date) and place you on Performance Improvement Program.

Thank you for your understanding and cooperation. I am sure you will show your hard and dedicated work in the coming months to become a regular employee of UPES family.

Yours Sincerely,

For UPES

Authorized Signatory

### Annexure 11: Travel Authorization Form

Travel Authorization Form						
Date						
Name of Employee						
Employee ID						
Designation						
Department / School						
Travel Details						
Domestic / International						
Location of Visit						
Country of Visit						
Date of Journey						
		Onward Journey		Return Journey		
Mode of Travel (Air / Train / Bus / Car)						
Class of Travel						
Flight / Train No.						
S. No.	Employee Name	Designation	Department / School	Mobile No.	Emergency Contact Name and Contact Number	
1						
2						
3						
4						
5						
Approval			Name		Signature	Date
School/ Functional Head						

## Annexure 12: Travel Advance Requisition Form

Travel Advance Form			
Name of the Employee			
Employee ID			
Designation			
Department / School			
Travel Advance Details			
Amount Required (in figures)			
Amount Required (in words)			
Currency (INR / USD / GBP / Euro)			
Place of Visit			
Purpose of Visit			
Date of Departure			
Date of Return			
Approvals	Name	Signature	Date
Submitted by			
Approved by			
Acknowledgement of Advance			
Date of Advance Given			
Amount Received			
Signature of Vice-Chancellor			
Signature of Employee			

### Annexure 13: Travel Expense Claim Form

Details of Travel				
Place of Visit		Purpose of Visit:		
Start Date:		Return Date:		
Details of Travel (Domestic)				
Mode of Travel	Date	Description	Entitlements	Amount
<i>Taxi / App Based Cabs</i>	<i>xx-xx-xxxx</i>	<i>From and to</i>	<i>On Actuals</i>	
<i>Bus / Auto / Metro</i>	<i>xx-xx-xxxx</i>	<i>From and to</i>	<i>On Actuals</i>	
<b>Total (A)</b>				<i>(total)</i>
Details of Travel (Domestic / International)				
From Date	To Date	Mode of Travel	Amount (INR)	Remarks
<b>Total (B)</b>				<i>(total)</i>
Details of Hotels (Domestic / International)				
From Date	To Date	Hotel Per Day	Number of Days	Amount (INR)

<b>Total (C)</b>				(total)
<b>Details of Meals (Domestic / International)</b>				
<b>From Date</b>	<b>To Date</b>	<b>Meal Per Day</b>	<b>Entitlement Per Day</b>	<b>Amount (INR)</b>
<b>Total (D)</b>				(Total)
<b>Details of Incidentals (Domestic / International)</b>				
<b>From Date</b>	<b>To Date</b>	<b>Number of Days</b>	<b>Incidentals Per Day</b>	<b>Amount (INR)</b>
<b>Total (E)</b>				(Total)
<b>Total Reimbursement Amount (A+B+C+D+E)</b>				
A	Local Travel			
B	Travel			
C	Hotel			
D	Meals			
E	Incidentals			
<b>Total</b>				(Total)
<b>Approval</b>	<b>Name</b>	<b>Signature</b>		<b>Date</b>
Prepared By				
Approved By				



### Annexure 14: Local Travel Expense Claim Form

Details of Travel						
Mode of Travel	Date	Description	Purpose	Distance Travelled (km)	Entitlements	Amount
<i>Taxi / App Based Cabs</i>		<i>From and To</i>			<i>On Actuals</i>	
<i>Own 4-wheeler</i>		<i>From and To</i>			<i>INR 12 per km</i>	<i>Km * 12</i>
<i>Own 2-wheeler</i>		<i>From and To</i>			<i>INR 6 per km</i>	<i>Km * 6</i>
<i>Bus / Auto / Metro</i>		<i>From and To</i>			<i>On Actuals</i>	
<b>Total</b>						<i>(total)</i>

Approval	Name	Designation	Signature	Date
Prepared By				
Approved By				



## Annexure 15: Training Feedback Form

Date:

Training Feedback Form			
Name		Employee ID	
Designation		Department / School	
Training Program		Training Venue	
Rate the below mentioned statements on a scale of 1 to 10 1 (lowest) to 10 (highest)			
#	Criteria	Rating	
1	Program structure		
2	Program content		
3	Duration of the program		
4	Knowledge of the trainer		
5	Ability of the trainer to explain concepts and link it with live examples		
6	Usefulness of the program		
Your key learning from the program			
What would you like us to focus on / improve in the program?			
Any other comments:			
Signature		Date	

## Annexure 16: Contract Employee Appraisal Form

Personal Details		
Employee Name:	Date of Joining:	
Designation:	Reporting To:	
Department / School:	Total Experience:	
Location:	Contract Start Date:	Contract End Date:
Rating Scale		
5	Very Good	Exceeds expectations
4	Good	Meets expectations
3	Average	Somewhat meets expectations
2	Below Average	Does not meet expectations
1	Very Poor	Consistently below expectations

### A. Key Result Areas (KRAs)

Description	Actual Achievement	Self-Rating	Reviewer's Rating
KRA1:			
KRA2:			
KRA3:			
KRA4:			
KRA5:			
KRA6			

### B. Key Competence Areas:

S. No	Competencies	Self - Rating	Reviewer's Rating
1			
2			
3			
4			
5			

### C. Appraisee's Comments

**Please list any other achievements not included in your objectives:**

**What were the key highlights or learning from your contract period?**

**Were you provided adequate support to perform your duties? Please comment.**

**Training and development programs attended in the last 1 year (Please mention topic, duration, facilitator and location of program)**

--

**D. Identification of Training and Development Needs**

Appraisee	
<u>Technical</u>	<u>Behavioral</u>

Appraiser	
<u>Technical</u>	<u>Behavioral</u>

**E. Appraiser's comments**

**Please provide an overall rating / comment on the contract employee's performance during the probation.**

--

**Was the conduct or behavior of the appraisee satisfactory? If no, please provide details.**

--

**Sign Off**

Appraisee Signature		Date	
---------------------	--	------	--

Appraiser Signature		Date	
<b>Recommendation to Approving Authority</b>			
<b>Sign Off by Approving Authority</b>			

## **Annexure 17: Contract Renewal Letter**

Date:

[Name of Employee]

[Location]

UPES

Subject: Renewal of Contract

**Dear [Name],**

This is reference to your Letter of Contract dated [ Date], this is to inform you that the University is pleased to renew your contract for a period of [Duration] with effect from **[Date]**, unless extended in writing; your contract with the UPES will come to an end on **[Date]**

Your honorarium has also been revised and enclosed in the **Annexure**.

On behalf of UPES, we thank you once again for your contribution to the University and look forward to your continued commitment in achieving and surpassing our goals. You shall act in accordance with the Principles of Engagement of UPES, as in force and as amended from time to time. All other terms and conditions of the original contract of association remain unchanged.

Kindly sign the duplicate copy of this letter as token of your acceptance.

With best wishes,

Yours sincerely,

For UPES

Authorized Signatory

## **Annexure 18: Contract Completion Letter**

Date:

[Name of Employee]

[Location]

UPES

Subject: Closure of Contract

With reference to your letter for Contract dated January 13, 2017, your contract with UPES will come to an end on December 31, 2017.

We at UPES and its flagship community are appreciative of your contributions since the time you have been associated with us. You have guided and advised us on the various activities of the University and provided valuable support in our endeavor of institution building.

We acknowledge your contribution and wish you a very healthy life ahead. We are sure that we can rely on your support in any other future endeavor.

Thanking you.

Yours sincerely,

For UPES

Authorized Signatory

## Annexure 19: Letter for PIP

Date:

[Name of Employee]

[Location]

UPES

Subject: Performance Improvement Program

Dear [Name],

Based on the discussions held with you by during your performance review on \_\_\_\_\_ (date), the University is of the view that you require further improvements in various areas.

We appreciate your realization on some of your shortcomings in your performance during the year and noting your willingness to improve those weaknesses to excel in deliverable in the coming months, we are implementing a Performance Improvement Program for \_\_\_\_\_ months from \_\_\_\_\_(date) to \_\_\_\_\_(date) to assist you in meeting performance Code going forward.

In order to support you through this process, you will meet with your manager on a regular basis who will monitor and discuss your progress against the performance goals that will be identified on the Personal Improvement Plan.

While it is our hope and expectation that you will respond positively to the Performance Improvement Program and improve your performance level, it is important for you to understand that failure to meet performance Code on a sustained basis may result in termination of employment.

Thank you for your understanding and cooperation. We are sure you will show your hard and dedicated work in the coming months.

Sincerely,

For UPES

Authorized Signatory



## Annexure 20: Performance review during PIP Form

Performance Improvement Program Form					
Personal Details					
Employee Name		Employee Designation			
Appraiser Name		Appraiser Designation			
Last Rating Received		Period of PIP			
PIP Start Date		PIP End Date			
Action Plan					
Improvement Area	Outcomes Desired	Actions to Be Taken	Strategies	Support	Timeline
<i>Areas where the employee needs to improve upon</i>	<i>What the employee is expected to achieve?</i>	<i>What the employee needs to do to improve performance?</i>	<i>How the employee will achieve the outcomes?</i>	<i>What support does the employee have?</i>	<i>By when should this activity be completed?</i>

Review 1			
Assessment			
Improvement Area	Outcomes Desired	Appraisee Comments	Appraiser Comments

**Review 1**

<b>Recommendations</b>			
<b>Reviewer</b>	<b>Overall Comments</b>	<b>Signature</b>	<b>Date</b>
Appraiser			
Next Level Manager			
HR			

**Review 2 (If Applicable)**

<b>Assessment</b>			
<b>Improvement Area</b>	<b>Outcomes Desired</b>	<b>Appraisee's Comments</b>	<b>Appraiser's Comments</b>
<b>Recommendations</b>			

**Review 2 (If Applicable)**

Reviewer	Overall Comments	Signature	Date
Appraiser			
Next Level Manager			
HR			

**Final Recommendations by Director (HR) / Vice-Chancellor**

Name		Signature	
Designation		Date	

## **Annexure 21: PIP Extension Letter**

Date:

[Name of Employee]

[Location]

UPES

Subject: Extension of Performance Improvement Program

Dear [Name],

Based on the discussions held with you by during your Performance Improvement Program review on \_\_\_\_\_ (date), the University is of the view that you require further improvements in various areas.

I appreciate your realization on some of your shortcomings in your performance during the Performance Improvement Program period and noting your willingness to improve those weaknesses to excel in deliverable in the coming months, I would like to extend your Performance Improvement Program period for \_\_\_\_ months until \_\_\_\_\_ (date).

Thank you for your understanding and cooperation. I am sure you will show your hard and dedicated work in the coming months.

Sincerely,

For UPES

Authorized Signatory

## **Annexure 22: Resignation Acceptance Letter**

Date:

[Name of employee]

[Designation]

Sub: Acceptance of Resignation

Dear [name],

This is with reference to your resignation letter dated \_\_\_\_\_. The University has accepted your resignation.

You will be relieved from the services of the University on \_\_\_\_\_, after closing hours as communicated to you. Your relieving will be subject to submission of clearance form, return of all University property and information in your possession and handover of complete charge.

We wish you all the best in your future endeavors.

Regards,

For UPES

Authorized Signatory

### Annexure 23: Exit Interview Form

Employee Name		Employee ID	
Department		Location	
Reporting Manager		Separation Date	

Please select and rank (1 to 3) top three reasons that prompted you to leave employment with UPES:

Lack of growth & development opportunities	
Medical grounds	
Unattractive remuneration	
To pursue higher studies	
Absence of a challenging responsibility	
Family related problems	
Excessive work pressure	
Inadequate recognition of your efforts	
Lack of suitable location	
Absence of a congenial work environment	
Lack of pleasant work relationship with immediate superior.	
Any other reason, not listed above (please specify)	
<i>Additional Remarks:</i>	

**1. Is there anything the Organization could have done to retain you?**

--

**2. What did you like most about your job?**

--

**3. What did you like least about your job?**

--

**4. Are you open to the idea for re-joining UPES at a future date?**

( ) Yes ( ) No ( ) Not Sure

**5. What suggestions do you have to make this organization a better place to work?**

**HR Department/ Interviewer's Comments**

	Name	Signature	Date
Exiting Employee			
Reporting Manager/ Head of Department			
HR			

## Annexure 24: Exit / Clearance Form

Personal Details	
Employee Name:	Employee ID:
Designation:	Department / School:
Location:	Date of Joining:
Date of Resignation:	Last working day:
Permanent Address:	
City:	State: Pin Code:
Residential Telephone No:	Mobile No:
Personal Email ID:	

This is to inform all concerned that **(Employee Name)** has resigned from the services of the University. The University has accepted the resignation and he / she will be relieved from duty on **(Relieving Date)**, hence please do not issue him / her anything after acknowledging this final clearance.

Please write your remarks and sign under the relevant section so that we can process his / her full and final settlement.

Concerned Department	Particulars (Return of UPES Property Data and Documents)	Status (Cleared / Not Cleared)	Signature	Date
Reporting Manager (at the level of Head of Department or above)	Files and Official Documents (Hard Copies) Files and Official Documents (Soft Copies) Pending Work Any external commitments			



Concerned Department	Particulars (Return of UPES Property Data and Documents)	Status (Cleared / Not Cleared)	Signature	Date
	Official mails to be forwarded			
Finance	Imprest Amount Advance Notice pay Loan Any other dues			
Library	Library books Any Dues			
Information Technology	Laptops Data Cards, Printer and other accessories Pen Drive Manuals Back-up of data			
Human Resources	UPES ID Card Keys of Work Station (if any) Any other files / Document			
Cafeteria	Any cafeteria dues			

Declaration		
<p>I, _____, hereby confirm the above and certify that I am not carrying any information / asset of the University nor will share any confidential and proprietary information of any nature in part or full with any external party, directly or indirectly associated with the University. I also confirm that I have collected all my personal belongings.</p>		
Name:	Signature:	Date:

## **Annexure 25: Relieving Letter**

[Date]

Sub: Relieving Letter

Dear [Name],

This is with reference to your resignation dated [Date]. Your resignation has been accepted and you are relieved from the services of the University effective close of University hours on [Date].

We wish you all success in your future endeavors.

Sincerely,

For UPES

Authorized Signatory

## Annexure 26: Experience Letter

[Date]

### To Whomsoever It May Concern

This is to certify that [Name] was employed with UPES from [Date] till [Date], and his employment particulars are as under:

Emp. ID:

Designation:

Department / School:

Location:

Last drawn cash compensation:

We wish \_\_\_\_ [him / her] all the very best in \_\_\_\_ [his / her] future endeavors.

Sincerely,

For UPES

Authorized Signatory

## II. Version Control

[illegible]