



POLICY ON PREVENTIVE MEASURES AGAINST CORRUPTION AND FRAUDULENT PRACTICES

***Preventive measures against corruption and fraudulent
practices/policy/v1.0***

UPES

All rights reserved. This document is meant for exclusive use of UPES. No part of the document may be copied, reproduced, stored in any retrieval system, or transmitted in any form or by any means, electronically, mechanically, or otherwise without prior written permission.

1. Introduction

UPES is dedicated to upholding the highest standards of integrity, transparency, and ethical conduct in all its academic, research, and administrative activities. Recognizing that corruption and fraud not only compromise the institution's core values of fairness, honesty, and accountability but also undermine public trust, this policy is established as a proactive measure. UPES is committed to an environment free of corrupt practices, ensuring accountability and transparency at every level.

2. Definitions

For the purposes of this policy, the following definitions apply:

- **Fraud:** Fraud is defined as any intentional act or omission designed to deceive others, resulting in the victim suffering a loss and/or the perpetrator achieving a gain. Fraudulent practices may not immediately yield financial benefits for those involved; however, they can lead to significant financial or reputational damage to the institution and its stakeholders.
- **Corruption:** Corruption is defined as the abuse of entrusted power for private gain, including bribery. Acts of corruption may not always result in immediate financial benefits for the individuals involved; nonetheless, they are considered criminal offenses and/or violations of civil law and can inflict lasting damage to the institution's integrity and public confidence.

3. Policy Statement

UPES adopts a **zero-tolerance policy toward all forms of corruption and fraudulent activities**. This commitment extends to bribery, extortion, embezzlement, kickbacks, manipulation of financial or operational processes, and any unethical behavior. The policy requires every member of the UPES community—including students, faculty, staff, administrators, contractors, vendors, and any external stakeholders—to act in conformity with relevant laws, guidelines, and best practices mandated by national educational and regulatory frameworks.

4. Core Principles

- **Zero Tolerance for Corruption:**
No act of corruption, in any form, will be tolerated. UPES strictly prohibits any activities that compromise the integrity and ethical standards required by both internal regulations and statutory guidelines issued by Indian government bodies.
- **Compliance with Laws and Regulations:**
UPES shall operate in full compliance with all applicable laws. Every member is responsible for understanding and adhering to these legal frameworks in all their activities.
- **Ethical Conduct and Professionalism:**
The university is committed to promoting a culture of ethical behavior, honesty, and professionalism. All academic, research, and administrative processes must be conducted in a transparent and responsible manner.
- **Risk Management and Preventive Measures:**
Proactive assessments, risk management strategies, and internal control mechanisms will be consistently applied to minimize vulnerabilities to corrupt practices and fraud.

- **Protection and Confidentiality for Whistleblowers:**

UPES values the role of individuals who report unethical behavior or suspicious activities. Whistleblowers are encouraged to come forward, knowing they will be protected against retaliation and that their confidentiality will be maintained to the fullest extent permitted by law.

5. Regulatory Framework and Government Mandates

In alignment with directives issued by the Indian government—UPES shall:

- Regularly review its policies to ensure compliance with evolving legal requirements and best practices.
- Incorporate recommendations from government mandates on transparency, ethical governance, and institutional accountability.
- Actively engage with government-led initiatives aimed at eliminating corrupt practices in higher education.

6. Implementation Strategy

A. Communication and Awareness

- **Dissemination:**

The policy shall be prominently displayed on the university website, included in all official handbooks, and emphasized during orientation sessions and periodic training events.

- **Awareness Campaigns:**

Regular seminars, workshops, and outreach programs will be organized to educate the community on ethical practices, risks related to corruption, and the importance of transparency in professional and academic undertakings.

B. Training and Education

- **Mandatory Training:**

All members will participate in training sessions focusing on ethical decision-making, conflict of interest management, guidelines related to accepting gifts and hospitality, and the procedures for appropriate whistleblowing.

- **Continuous Learning:**

UPES will facilitate periodic refresher courses to keep the community updated on evolving legal frameworks, NEP recommendations, and any amendments to governmental policies relevant to academic and administrative practices.

C. Monitoring, Oversight, and Risk Management

- **Internal Audits and Reviews:**

Dedicated oversight mechanisms such as internal audits, compliance checks, and risk assessments will be conducted periodically to monitor adherence to this policy.

- **Establishment of a Compliance Committee:**

A committee will be established to review reports, investigate allegations of corrupt practices, and ensure that any incidents are addressed swiftly and fairly.

D. Reporting and Whistleblowing

- **Reporting Mechanisms:**

Clear, secure, and confidential channels will be made available for reporting any suspected instances of corruption or fraudulent activities. These channels will be accessible to all members of the university community.

- **Assurance of Protection:**

Anyone reporting in good faith will be protected against reprisals, and every report will be thoroughly investigated in an impartial manner.

E. Enforcement and Accountability

- **Disciplinary Measures:**

Violations of this policy will trigger strict disciplinary actions that may include termination of employment, academic sanctions, legal proceedings, and referrals to law enforcement agencies.

- **Transparent Investigation Process:**

All reported cases will undergo a fair and timely investigation process, and the outcomes will be communicated to the affected parties in accordance with due legal process.

7. Review and Continuous Improvement

UPES is committed to the continual improvement of its preventive measures against corruption and fraud. This policy will be reviewed periodically to:

- Evaluate its effectiveness in mitigating risks.
- Incorporate best practices and recommendations from national bodies.
- Address any emerging threats or vulnerabilities in the institutional landscape.

8. Conclusion

The Policy on Preventive Measures Against Corruption and Fraudulent Practices reflects UPES's resolute commitment to ensuring integrity, transparency, and accountability in all facets of university operations. Through strict adherence to legal mandates, continuous education, proactive risk management, and a culture that values ethical conduct, UPES aims to foster an academic environment that is fair, trustworthy, and conducive to excellence. All members of the UPES community are expected to embrace this policy, thereby supporting the institution's mission and reinforcing the trust placed in it by society.

Registrar
UPES

E. Enforcement and Accountability

- **Disciplinary Measures:**

Violations of this policy will trigger strict disciplinary actions that may include termination of employment, academic sanctions, legal proceedings, and referrals to law enforcement agencies.

- **Transparent Investigation Process:**

All reported cases will undergo a fair and timely investigation process, and the outcomes will be communicated to the affected parties in accordance with due legal process.

7. Review and Continuous Improvement

UPES is committed to the continual improvement of its preventive measures against corruption and fraud. This policy will be reviewed periodically to:

- Evaluate its effectiveness in mitigating risks.
- Incorporate best practices and recommendations from national bodies.
- Address any emerging threats or vulnerabilities in the institutional landscape.

8. Conclusion

The Policy on Preventive Measures Against Corruption and Fraudulent Practices reflects UPES's resolute commitment to ensuring integrity, transparency, and accountability in all facets of university operations. Through strict adherence to legal mandates, continuous education, proactive risk management, and a culture that values ethical conduct, UPES aims to foster an academic environment that is fair, trustworthy, and conducive to excellence. All members of the UPES community are expected to embrace this policy, thereby supporting the institution's mission and reinforcing the trust placed in it by society.