

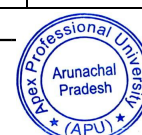

**ANNEXURE - 4**
**APU ETHICS, CODE OF CONDUCT AND DISCIPLINE RULE, 2020**

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## APU ETHICS, CODE OF CONDUCT AND DISCIPLINE RULE, 2020

*[In supersession of the APU Code of Conduct and Discipline Rule, 2019]*

In pursuance of the provisions of section 5 (22) of Apex Professional University Act, 2012 (No. 7 of 2013) and Statute No. 51, the Board of Management of the Apex Professional University hereby makes the rules relating to Ethics, Code of Conduct and Discipline as applicable to all employees of the University.

### 1) **OBJECTIVE:**

The purpose of the Code of Conduct is to define the way of life at APU and articulate high standards of honesty, integrity and ethical behavior expected of all employees, while meeting the requirements of external stakeholders and applicable laws. Code of Conduct provides guidelines to the employees to enable them to understand their responsibilities and obligations and provide guidance on expected behavior at the workplace if faced with an ethical dilemma or conflict of interest.

### 2) **APPLICABILITY:**

This policy shall be applicable to all full-time, part-time and contractual employees of APU, as well as those associated in any other capacity. (Collectively referred to as "employees" for the purpose of Code of Conduct Policy). All employees shall be responsible for reporting any violations of the codes, they observe within the University, to the Compliance Officer. For this purpose, the Registrar has been designated as the Compliance Officer.

### 3) **ETHICS AND CODE OF CONDUCT - APU's Way of Life:**

As a staff member of a Statutory University of the country, one is always under public scrutiny. It is necessary to maintain a high degree of decorum and integrity at all times. Clearly, it is not possible to give a complete list of what is acceptable and what is not. Therefore, we are putting some general points that one needs to know and follow.

#### **Matters of general conduct - The Do's and Don'ts**

##### **I. Do's**

- a) The Employee will diligently perform duties assigned to him/her at all times faithfully and devote working time, attention and abilities to the University.
- b) Be courteous with a smile in dealings with other members of the staff, students and the public.
- c) Serve the University with honesty, be faithful and use utmost endeavor to promote the interest of the University.
- d) Maintain absolute integrity and absolute devotion to duty at all times.
- e) Those holding responsible posts should maintain independence and impartiality in the discharge of their duties.
- f) Conduct himself at all times in a manner which shall enhance the reputation of the University.
- g) Maintain a responsible and decent standard of conduct in private life and render prompt and courteous service to the public.
- h) Report to superiors the fact of one's arrest or conviction in a Criminal Court and the circumstances connected therewith, as soon as it is possible to do so.

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- i) Keep away from demonstrations organized by political parties in the vicinity/ neighbourhood of University and maintain political neutrality.
- j) Manage private affairs in such a way so as to avoid habitual indebtedness or insolvency.
- k) Maintain high ethical standards and be honest.
- l) Promote the principles of merit, fairness and impartiality in the discharge of duties.
- m) Maintain accountability and transparency.
- n) If any legal proceedings are instituted for the recovery of any debt due from an employee or for adjudging him/ her as an insolvent, the full facts of such proceedings are to be reported to the Competent Authority.
- o) Act in accordance with University policies.
- p) An employee needs to commit himself/ herself to uphold the supremacy of the Constitution and democratic values.
- q) Defend and uphold the sovereignty and integrity of India, the security of the State, public order, decency and morality.
- r) Use University resources efficiently, effectively and economically by performing and discharging one's duties with the highest degree of professionalism and dedication to the best of one's abilities.
- s) Declare any private interests relating to the University duties and take steps to resolve any conflicts in a way that protects the University interests.
- t) Make choices, take decisions and make recommendations on merit alone.
- u) Act with fairness and impartiality and not discriminate against anyone, particularly the poor and underprivileged sections of the society.
- v) Maintain discipline in the discharge of one's duties and obey the orders / directions of one's superior(s).
- w) Maintain confidentiality in the performance of one's official duties as required by any laws for the time being in force, particularly with regard to information, disclosure of which may affect the sovereignty and integrity of India, the security of the State, friendly relations with foreign countries or lead to incitement of an offence, illegal or unlawful gain to any person.
- x) Use the transport, Internet, Printer, Telephone, Photostat, Computer or other facilities for official use only.
- y) ***Maintain a record of duties assigned and performed on a daily basis for achieving effective results and unleashing your potential.***
- z) All communications on behalf of the University to the Stakeholders shall be on templates approved by the University. In the event of templates not being available for the subject matter, the draft of the communication has to be necessarily approved by the competent authority.
- aa) Share APU information available on Official Facebook Page, Official Telegram Group, Official Youtube Channel and other official social media accounts on a regular basis without re-posting.
- bb) Do make full use of prescribed online tools and apps for effective functioning and communication with staff and students.

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- cc) Do vacate the University accommodation as per guidelines without any damage to the university property.
- dd) Do protect all documents, manuals, hardware and software provided for one's use by the University, and any data or documents (including copies) produced, maintained or stored on the University's computer systems or other electronic equipment (including mobile phones), as they remain the property of the University.

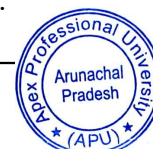
## II. Don'ts

- a) Do not make joint representations in matters of common interest.
- b) Do not indulge in acts unbecoming of a University employee.
- c) Do not be discourteous, dishonest and partial.
- d) Do not adopt dilatory tactics in one's dealings.
- e) Do not convey oral instructions to subordinates. (If done for unavoidable reasons, confirm them in writing as soon as possible)
- f) Do not practise untouchability.
- g) Do not associate oneself with any banned organizations.
- h) Do not take part in any act or movement such as strike, incitement thereto or similar activity in connection with any matter pertaining to one's service or to any other matter, which tends to bring the University to disrepute.
- i) Do not engage or participate in any demonstration, which involves incitement to an offence.
- j) Do not indulge in criticism, which shall embarrass the University administration in its relation to members of different communities among the staff or students or public.
- k) Do not indulge in any public criticism of the University administration, which causes or is likely to cause embarrassment to the administration in its relation to its staff or students of the University.
- l) Do not join any association or demonstration whose objective or activities are prejudicial to the interest of the sovereignty and integrity of India, public order or morality.
- m) Do not give expression or views on Indian or foreign affairs while visiting foreign countries.
- n) Do not get involved in unauthorized communication of any document or any part thereof or classified information to any University employee or any other persons to whom one is not authorized to communicate such document or classified information.
- o) Do not Join a political party or canvas in an election. (One can, of course, contest an election in a professional body).
- p) Do not join or support any illegal strike.
- q) Do not enter into any private correspondence with Foreign Embassies or Missions/ High Commissions.
- r) Do not switch off the official mobile number during working hours.
- s) Do not accept lavish or frequent hospitality from any individual, industrial or commercial firms, organizations, etc. having official dealings with the University.
- t) Do not accept any offer of the cost of passage to foreign countries or hospitality by

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- way of a free board and lodging there if such offers are from foreign firms contracting with the University.
- u) Do not accept invitations to self and members of one's family for free inaugural flights offered by Air India, Indian Airlines, Corporate or Foreign Airlines.
  - v) Do not give dowry or demand any dowry directly or indirectly from the parent or guardian of a bride or bridegroom.
  - w) Do not accept any gift including free transport, lodging or any other service or any pecuniary advantage from any student / parents / guardians of any such student or any other person or any organization / Private Trust/Foundation with whom one may come into contact by virtue of his/ her position in the University as an employee or as any member of his/her family.
  - x) Do not accept any gift from any Individual / Firm (National/ International), which is having official dealings with the University.
  - y) Do not engage oneself in canvassing business of Life Insurance Agency, Commission Agency or Advertising Agency owned or managed by the members of one's family.
  - z) Do not lend money to or borrow money from or deposit money as a member or agent, with any person, firm or private company with whom one is likely to have official dealings. Do not otherwise place oneself under pecuniary obligation with such a person, firm or private company.
  - aa) Do not approach one's subordinates for standing surety for loans taken from private sources either by self/ one's relations/ friends.
  - bb) Do not undertake private consultancy work.
  - cc) Do not speculate in any stock, share or other investment.
  - dd) Do not purchase shares out of the quota reserved for friends and associates of Directors of Companies.
  - ee) Do not bid at any auction of property where such auction is arranged by one's own officers.
  - ff) Do not stay as guests with Foreign Diplomats or foreign nationals in India.
  - gg) Do not invite any Foreign Diplomat to stay with oneself as one's guest in India.
  - hh) Do not accept or permit one's dependents to accept passage money or free transport from a Foreign Mission/ Government or Organization.
  - ii) Do not bring any political influence in matters pertaining to one's service.
  - jj) Do not consume any intoxicating drinks or drugs while on duty.
  - kk) Do not employ children below 14 years of age.
  - ll) Do not accept awards of monetary benefits instituted by Private Trusts/ Foundations, etc.
  - mm) Do not address the higher authority prematurely on the same issue unless it is established that all the points or submissions made earlier have not been fully considered by the immediate superior or Head of Office or any other authority at the lowest level competent to deal with the matter.
  - nn) Do not use one's official position or influence directly or indirectly to secure employment for any member of one's family in any company or firm.

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- oo) Do not place oneself under any financial or other obligations to any individual or organization which may influence one in the performance of one's official duties.
- pp) Do not attend any course or seminar / Conference / Workshop without prior and written approval from the Vice Chancellor.
- qq) Do not misuse one's position as a University employee and take decisions in order to derive financial or material benefits for oneself, one's family or friends.
- rr) Refrain from doing anything which is or may be contrary to any law, rules, regulations and established practices.
- ss) Don't post pictures of APU employees & students without their consent on digital media platforms.
- tt) Don't use APU Logo or emblems without the prior approval of the office of the Registrar.

### III. Conduct in the Official Digital Platforms

- a) Post messages in English only of those that are relevant to the group subject. One needs to focus on quality of discussion and not quantity.
- b) No jokes, No forward messages, No greeting messages, No blank emoticons, inspirational/ devotional messages, No social event wishes, No invites, No personal comments or any type of irrelevant posts. The admin will decide the relevance of the post.
- c) Unrelated content will not be tolerated and deleted by the admin without any notice.
- d) Do not argue with group members or with the admins. Avoid unnecessary debates.
- e) Must talk respectfully to other members, APU Staff and Administrators.
- f) When replying to a specific comment from a person, use the "reply" function to make sense of your comment and avoid confusion.
- g) Keep in mind that words can be interpreted in multiple ways, so use short sentences that can't be misinterpreted.
- h) Use the platform to showcase some nice work you have done. However, it should be related information and excessive self-promotion will not be entertained.
- i) Members are requested to refrain from bothering group members personally. Further, when communicating in the group, they are expected to talk and behave in a polite and professional manner. Any Complaint by any member (about stalking of him/her by some other member of the group) shall be taken very seriously. The consequences shall be legal as well. These sorts of complaints will be dealt with the help of Police, if required.
- j) Members are prohibited from sharing external group invite links in the group. Only admins will do it as and when necessary.
- k) Any deviation from the **Code of Conduct** will be taken seriously and offenders will be removed from the group permanently without notice. Admins reserves the right to remove the offenders from all the associated groups of Apex Professional University.  
*Note: Members who are removed from the group will not be added back to the group. So please be careful about what you are sharing with the group. This is done to protect the interest and privacy of group members.*
- l) No admin or Owner is personally liable for unanswered queries. It will be strictly unethical to abuse admins for unanswered queries.



- m) Admins or Owners reserve the right to change the group rules from time to time in the best interest of the digital platform.

#### 4) **CODE OF PROFESSIONAL ETHICS FOR TEACHERS:**

In addition to the Ethics and Code of Conduct prescribed for APU Employee, the teaching faculty shall be required to abide by the following "Code of Professional Ethics laid down by the Regulatory Body like - UGC and amendment as enforced from time to time.

##### **A. The Pro-Chancellor / Vice-Chancellor / Pro-Vice-Chancellor / Rector should:**

- i. Provide inspirational and motivational value-based academic and executive leadership to the university through policy formation, operational management, optimization of human resources and concern for environment and sustainability;
- ii. Conduct himself/herself with transparency, fairness, honesty, highest degree of ethics and decision making that is in the best interest of the University;
- iii. Act as steward of the university's assets in managing the resources responsibly, optimally, effectively and efficiently for providing a conducive working and learning environment;
- iv. Promote the collaborative, shared and consultative work culture in the university, paving way for innovative thinking and ideas;
- v. Endeavour to promote a work culture and ethics that brings about quality, professionalism, satisfaction and service to the nation and society.
- vi. Refrain from allowing considerations of caste, creed, religion, race, gender or sex in their professional endeavour.

##### **B. DIRECTOR/ DEAN/ HEAD should:**

- i. Provide inspirational and motivational value-based academic and executive leadership to the School / Institute through policy formation, operational management, optimization of human resources and concern for environment and sustainability;
- ii. Conduct himself/herself with transparency, fairness, honesty, highest degree of ethics and decision making that is in the best interest of the School / Institute ;
- iii. Act as steward of the School / Institute's assets in managing the resources responsibly, optimally, effectively and efficiently for providing a conducive working and learning environment;
- iv. Promote the collaborative, shared and consultative work culture in the School / Institute, paving way for innovative thinking and ideas;
- v. Endeavour to promote a work culture and ethics that brings about quality, professionalism, satisfaction and service to the nation and society.
- vi. Adhere to a responsible pattern of conduct and demeanor expected of them by the community;
- vii. Manage their private affairs in a manner consistent with the dignity of the profession;
- viii. Discourage and not indulge in plagiarism and other unethical behaviour in teaching and research;
  - Participate in extension, co-curricular and extra-curricular activities, including the community service.
  - Refrain from allowing considerations of caste, creed, religion, race, gender or sex in their professional endeavour.





### C. TEACHERS AND THEIR RESPONSIBILITIES

Whoever adopts teaching as 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 ensure that there is no incompatibility between his precepts and practice. The national ideals of education which have already been set forth and which he/ she should seek to inculcate among students must be his/ her own ideals. The profession further requires that the teachers should be calm, patient and communicative by temperament and amiable in disposition.

#### Teachers should:

- i. Teachers are required to perform any combination of teaching, research, administrative, outreach and other related activities.
- ii. Adhere to a responsible pattern of conduct and demeanour expected of them by the community;
- iii. Manage their private affairs in a manner consistent with the dignity of the profession;
- iv. Seek to make professional growth continuous through teaching and research;
- v. Express free and frank opinion by participating at professional meetings, seminars, conferences etc. towards the contribution of knowledge;
- vi. Maintain active membership of professional organizations and strive to improve educational and professional competency through them;
- vii. Perform their duties in the form of teaching (Online / Classroom teaching), tutorial, practical, seminar and research work conscientiously and with dedication;
- viii. Co-operate and assist in carrying out functions relating to the educational responsibilities of the university such as: assisting in appraising applications for admission, advising and counseling students as well as assisting the conduct of university examinations, including supervision, invigilation and evaluation; and
- ix. Participate in extension, co-curricular and extra-curricular activities including community service.
- x. **Ensure all departmental records are also maintained in Soft version on Google Drive and shared with the reporting officer along with [report@apexuniversity.edu.in](mailto:report@apexuniversity.edu.in)**

### D. TEACHERS AND THE STUDENTS

#### Teachers should:

- i. Respect the right and dignity of the student in expressing his/ her opinion;
- ii. Deal justly and impartially with students regardless of their religion, caste, political, economic, social and physical characteristics;
- iii. Recognize the difference in aptitude and capabilities among students and strive to meet their individual needs;
- iv. Encourage students to improve their attainments, develop their personalities and at the same time contribute to community welfare;
- v. Inculcate among students scientific outlook and dignity of labour by offering physical labour and ideals of democracy, patriotism and peace;
- vi. Be affectionate to the students and not behave in a vindictive manner towards any of them for any reason;

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- vii. Pay attention to only the attainment of the students in the assessment of merit;
- viii. Make themselves available to the students even beyond the office hours of the University and help and guide students without any remuneration and rewards.
- ix. Aid students to develop an understanding of our national heritage and national goals; Refrain from inciting students against other students; colleagues or administration.
- x. Teachers should Clear Doubts of Students on Google Classroom as and when messages are posted;
- xi. Ensure hassle free on boarding arrangements to Google Classroom;
- xii. Teacher should distribute the Time table & Schedules to the students; and
- xiii. Teacher should prepare the list of slow learner to provide remedial teaching;

**E. TEACHERS AND COLLEAGUES****Teachers should:**

- i. Treat other members of the profession in the same manner as they themselves wish to be treated;
- ii. Speak respectfully of other teachers and render assistance for professional betterment;
- iii. Refrain from lodging unsubstantiated allegations against colleagues to higher authorities; and
- iv. Refrain from allowing considerations of caste, creed, religion, race or sex in their professional endeavour.

**F. TEACHER AND AUTHORITIES****Teachers should:**

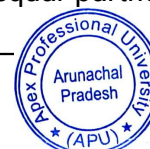
- i. Discharge their professional responsibilities according to the existing rules and adhere to procedures and methods consistent with their profession in initiating steps through their own institutional bodies and/ or professional organizations for change of any such rule detrimental to the professional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

**G. TEACHER AND NON-TEACHING STAFF**

- i. Teachers should treat the non-teaching staff as colleagues and equal partners in a

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- cooperative undertaking, within every educational institution; and
- ii. Teachers should help in the function of joint staff-councils covering both teachers and the non-teaching staff.

#### H. TEACHER 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 benefits of the University.

#### I. TEACHER AND SOCIETY

##### Teachers should:

- i. Recognize that education is a public service and strive to keep the public informed to the educational programmes which are being provided;
- ii. Work to improve education in the community and strengthen the community's moral and intellectual life;
- iii. 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;
- iv. Perform the duties of citizenship, participate in community activities and shoulder the responsibilities of public offices;
- v. Refrain from taking part in or subscribing to or assisting in any way activities which tend to promote a feeling of hatred or enmity among different communities, religions or linguistic groups and actively work for National Integration.

### 5) SEXUAL HARASSMENT OF WOMEN AT THE WORKPLACE:

An employee's behavior in all interactions with colleagues must be impeccable. The Supreme Court of India defines sexual harassment as unwelcome sexual behavior, whether directly or by implication, such as through

- a) Physical contact and advances.
- b) Demand or request for sexual favors.
- c) Sexually colored remarks (this includes colored jokes in mixed company, or even within hearing distance of a female member of the community).
- d) Showing pornography.
- e) Any other unwelcome physical, verbal or nonverbal conduct of a sexual nature.

Except where such an act amounts to a specified offence under the Indian Penal Code (which then has to be dealt with by the Police under applicable law), a victim of sexual harassment (or one who perceives sexual harassment to oneself) may lodge a complaint to the Vice Chancellor or Registrar. Any employee can approach the Internal Complaint Committee (ICC) as per UGC (Prevention, Prohibition and Redressal of Sexual Harassment of women employees and Students in Higher Educational Institutions) Regulation, Act, 2015 constituted by the University, either for advice or for redressal. An inquiry by the Internal Complaint Committee has the status of an official inquiry under the APU Service Rules and employees have to cooperate with the ICC in its investigations.

**For more information, you can write to registrar@apexuniversity.edu.in.**



*Neelika Barua*

**6) MISCONDUCT:**

All Employees are required to behave in a respectful and courteous manner, consistent with their obligations under the University's Code of Ethics and Code of Conduct, and all laws of the State and central. Without prejudice to the generality of the term 'misconduct,' the following acts of omission and commission shall be treated as misconduct. For the purposes of this clause, misconduct includes, but is not limited to:

- a) A breach of the University's Code of Conduct and Code of Ethics;
- b) Negligence in the performance of an Employee's duties;
- c) Refusal to carry out a lawful and reasonable instruction;
- d) misbehaviour;
- e) Conduct that causes imminent, and serious, risk to the reputation, viability or profitability of the University;
- f) Conduct that causes imminent, and serious, risk to the health, or safety, of a person, animal or environment;
- g) Violation of Service Agreement or Contract of Employment;
- h) Theft, fraud or dishonesty in connection with the activities or property of the University.
- i) Furnishing false information regarding the name, age, father's name, qualifications or previous service or any other matter in relation to the employment at the time of employment or during the course of employment.
- j) Acting in a manner prejudicial to the interests of the University.
- k) Refusal to carry out a lawful and reasonable instruction.
- l) Absence without authorized leave or overstaying the sanctioned leave for more than two consecutive days without sufficient grounds or proper explanation.
- m) Habitually late or irregular attendance or wilful absence from duty.
- n) Neglect of work or negligence in the performance of duty including malingering or slowing down of work.
- o) Damage to any property of the University.
- p) Drunkenness or riotous or disorderly or indecent behavior in the premises of the University or outside such premises where such behavior is related to or connected with the employment.
- q) Gambling within the premises of the University.
- r) Chewing Pan and Smoking within the premises of the University.
- s) Collection of any money within or outside the premises of the University, without the permission of the competent authority.
- t) Sleeping while on duty.
- u) Making loud noises in the form of heated arguments or through instruments.
- v) Commission of any act which amounts to a criminal offence involving moral turpitude.
- w) Absence from employee's appointed place of work without permission or sufficient cause.
- x) Abetment of or attempt of abetment of any act which amounts to misconduct.
- y) Unauthorized use or occupation of the University's quarters, land or other property.
- z) Assaulting or intimidating any employee / student of the University.



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- aa) Striking work or inciting others to strike work in contravention of provision of any law or rule having the force of law.
- bb) Breach of any law applicable to the employee or of the conduct rules or of any other rules or orders issued by the University from time to time.
- cc) Writing of anonymous letters, etc., addressing appeals or representations to an authority other than the appellate or the appropriate authority and forwarding advance copies of appeals or representations to any authority.
- dd) Distribution or exhibition in the University's premises or its precincts handbills, pamphlets, posters or causing to be displayed by means of signs or writings or other visible representations, in any manner without previous sanction of the competent authority.
- ee) Refusal to work on holidays or Sundays or extra work when notified to do so in the emergencies of University work.
- ff) Forcibly detaining any of the University employees.
- gg) Taking any active part in a meeting or demonstration organized by a political party
- hh) Forwarding of applications for outside employment, award of fellowships, etc., without prior approval of the competent authority.
- ii) Any lapses in performing his / her duties as assigned by the university from time to time.
- jj) Inciting students against other students, colleagues or administration (This does not interfere with the right of a teacher to express his/her difference of opinion on principles in seminars and other places where students are present) or any other such actions, which are against the interest of the university.
- kk) Indulging in communal activities, or making inappropriate remarks on caste, creed, religion, race or sex in his/ her relationship with his/ her colleagues and trying to use the above considerations for improvement of his/ her prospects or any other such actions, which are against the interest of the university.
- ll) Refusal to carry out the decisions by appropriate administrative and academic bodies and/ or functionaries of the University.
- mm) Indulging in plagiarism of any sort within the legal meaning, interpretation and expression of the term.
- nn) Gross partiality in assessment of students, deliberately over-marking/ under marking or attempts at victimization on any grounds.
- oo) During duty hours no employee is allowed to make his/ her personal (non-official) phone calls from an official phone. Therefore, he/ she will switch off his/ her personal mobile during duty hours.
- pp) Ragging direct or indirect within the University i.e. in the classroom hostels & anywhere and outside the University is strictly prohibited.
- qq) ***Communicating with University Stakeholders (Students, Government, Other APU Employee, Vendors, Service Provider etc.) on behalf of the University from personal eMail ID, Personal Phone (including personal mobile), Personal WhatsApp and other Personal electronics means.***
- rr) Communicating with Stakeholders not on the approved templates or draft approved by the competent authority.

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**ss) Research misconduct includes:**

- i) fabrication;
- ii) falsification;
- iii) plagiarism;
- iv) falsification or misrepresentation to obtain funding;
- v) deception in proposing, carrying out or reporting the results of research, including misleading ascription of authorship;
- vi) failure to declare or manage a serious conflict of interest;
- vii) avoidable failure to follow research protocols as approved by a Research Ethics Committee, particularly where this failure may result in unreasonable risk or harm to humans, animals or the environment;
- viii) conduct of research without ethics approval as required in law;
- ix) conduct of research with or transporting of genetically modified organisms without approval as prescribed in the Gene Technology Act and Regulations; or
- x) wilful concealment or facilitation of research misconduct by others;

**7) ATTENDANCE:**

- a) Every employee shall mark his attendance through Biometric or as prescribed by the University and observe punctuality in attending duty. If any employee is late in attending the office or takes leave before time **without prior permission** from his/her reporting officer as per APU Rules, disciplinary action can be initiated against him/her.
- b) University Officers (does not include employees in officiating capacity or position) maintain their attendance by checkin and checkout in the HR Portal issued by University. **Officers of the rank of Pro-Vice Chancellor and above will maintain their own attendance and leave records shall be made available at the Chancellor secretariat as and when demanded.**
- c) In the event of an employee not being able to complete his/ her Biometric Attendance on a particular day due to justified reason (Forgot is not a Justified Reason), which Head of School/ Section/ Directorate/ Institute / Centre accepts, the same shall be submitted to the Registrar on the next working day for consideration of the employee's presence.
- d) The Registrar on approval of the same will forward the request of the employee to the Establishment Section / Finance Section, with recorded reasons, within 3 (Three) working days. If there is a delay beyond 3 (Three) working days, the Registrar must forward the file through the Office of the Vice Chancellor. who with recorded reasons may forward the same to the Establishment Section / Finance Section
- e) If the Biometric Machine is not working, due to any Technical reason, then the Manual Attendance will be maintained by the Head of School/ Directorate/ Institute / Centre and submitted to the VICE CHANCELLOR on the next working day for consideration of the employees' presence.
- f) **If an employee remains absent for ten days without sanction of leave or beyond the period of leave originally sanctioned or subsequently extended, he/she will be deemed to be absconding from duty and the University may take disciplinary action including removal from the service of the University without any notice and intimation.**

**8) UNSATISFACTORY PERFORMANCE:**

- a) If an Employee is not meeting University performance expectations, the University may decide to take action to remedy the unsatisfactory performance.
- b) Before taking any disciplinary action as defined below, the University will discuss the matter informally with the Employee, providing the Employee the opportunity to respond to any concerns raised.
- c) Without limitation, the University may also take other measures to assist the Employee to improve their performance, such as:
  - i. arranging performance counselling for the Employee;
  - ii. providing and periodically reviewing a performance improvement plan for the Employee;
  - iii. undertaking any other action that is appropriate; and/or
  - iv. supporting the Employee to address the unsatisfactory.
- d) The Reporting Officer will advise the Employee in writing of the measures to assist the Employee to improve his/her performance and the timeframe for these measures to be specified.
- e) If the Reporting Officer determines that the Employee has demonstrated the required improvement, the Reporting Officer will advise the Employee in writing that the measures to assist the Employee to improve performance have been successful.
- f) The unsatisfactory performance process may recommence if the Employee does not continue to meet University performance expectations within six months of the date of the notice provided at clause 8 (d) of this Rule.
- g) If the measures to assist the Employee to improve their performance within a reasonable timeframe are not successful, the Reporting Officer will advise the Employee in writing of either:
  - i. the timeframe for the completion of measures to assist the Employee to improve their performance has been extended; or
  - ii. the detail of any disciplinary action recommended to the Registrar.
- h) The Employee will have 5 working days to provide a response to a recommendation that any disciplinary action be taken.
- i) Where a recommendation has been made that disciplinary action be taken the Registrar, will determine the disciplinary action to be taken and notify the Employee prior to taking any action.
- j) Where the recommendation by the Vice-Chancellor is that the Employee should have his/her employment terminated the Employee will be entitled within 5 working days to make a submission to the Chancellor as to why their employment should not be terminated.
- k) The Chancellor will be briefed by the University and the Employee or Employee's Representative and will consider whether the recommendation to terminate is reasonable in all the circumstances.
- l) Where an Employee has reasonable grounds to believe that the disciplinary action imposed is unreasonable the Employee may initiate a Dispute in accordance with clause 39, APU Ethics, Code of Conduct & Discipline Rules, 2020.

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- m) The University will consider any reasonable request by the Employee or their representative to extend the periods in clauses 8(h) and 8(j) of this Rule.
- n) This clause does not apply to Contractual Employee or Fixed Term Employee or Probationary Employees or Casual Employee.

**9) USE OF PHONE:**

- a) University phones (including Official Mobile number) are intended for the use of serving our students and in conducting the University's business.
- b) Personal usage of phones during working hours is discouraged except for extreme emergencies. All personal phone calls should be kept brief to avoid congestion on the phone line.
- c) To respect the rights of all employees and avoid miscommunication in the office, employees must inform family members and friends to limit personal phone calls during working hours. If an employee is found to be deviating from this policy, he/she will be subject to disciplinary action.
- d) Employee shall Communicate with University Stakeholders (Students, Government, Other APU Employee, Vendors, Service Provider etc.) on behalf of the University from official phone number and Telegram only.
- e) Use of mobile phones in the classroom and during examination time (including classrooms, common area, corridor etc) is strictly prohibited. If staff members are found loitering or engaged in conversation in corridors, common area etc, besides having loud ringtones, it will attract disciplinary action.

**10) USE OF SOCIAL MEDIA:**

- a) **You are responsible for what you post on your personal social media accounts.** Unless your job duties entail the use of your personal media accounts on behalf of the APU and such use is explicitly authorized in writing by the Office of the Registrar an employee's personal use of social media shall be deemed not in furtherance of their employment responsibilities on behalf of APU, and any postings from personal accounts shall not be considered a direct consequence of the discharge of his/her/their duties of an APU Employee. Consequently, APU will not be liable for and will not indemnify an employee for any liability that results from postings from personal social media accounts.
- b) **Even when you are personally engaging on social media, an APU affiliation on your profile has the ability to affect the university as a whole.** If you identify your affiliation with APU in your profile or comments, other users will naturally associate you with the university. You should always think before you post, be civil to others and their opinions and not post personal information about others unless you have their permission. Your behavior should be consistent with the information security, Intellectual Property, and privacy policies of the university. In addition, you should include, where possible, a statement on your profile that indicates your views do not constitute official statements on behalf of APU. Finally, except as permitted by law, no employee is permitted to use APU Logo or emblems without the prior approval of the office of the Registrar.

**11) CONFIDENTIALITY:**

- a) The Employee acknowledges that, in the course of performing and fulfilling his duties hereunder, he may have access to and be entrusted with confidential information

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concerning the present and contemplated financial status, student data and activities of the University, the disclosure of any of which confidential information to the competitors of the University would be highly detrimental to the interests of the University.

- b) The Employee further acknowledges and agrees that the right to maintain the confidentiality of trade secrets, source code, website information, business plans or client information or other confidential or proprietary information, for the purpose of enabling the other party such information constitutes a proprietary right which the University is entitled to protect.
- c) The Employee shall comply with the Information Compliance Policies when handling University information and personal data in the course of employment, particularly personal data relating to any employee, student, client, supplier or associates of the University.
- d) Accordingly, the Employee covenants and agrees with the University that he will not, under any circumstance during the continuance of this agreement, disclose any such confidential information to any person, students, firm or corporation, nor shall he use the same, except as required in the normal course of his engagement hereunder, and even after the termination of employment, he shall not disclose or make use of the same or cause any of confidential information to be disclosed in any manner.
- e) It is part of the work of academic staff to create new materials, invent processes and develop new mechanisms and methodologies. These take a variety of forms including: written materials, such as book, journal and website articles; artistic works; scientific inventions. For the avoidance of doubt, the Employer owns all works embodying Intellectual Property Rights made wholly or partially by an employee at any time during the course of employment. All Intellectual Property Rights subsisting (or which may in the future subsist) in all such Inventions and works shall automatically, on creation, vest in the University absolutely. After termination of employment, Employee shall not impose any rights on the intellectual property created during the course of the employment.

## 12) GENERAL DISCIPLINARY CONTROL:

Employees of the University, whether confirmed, under probation and/ or contractual basis full-time or part-time to be under the general internal discipline of the University and such rules of discipline as are enforced, or as may be made, from time to time. Any infringement of these rules shall be dealt with severely.

## 13) LIABILITY TO ABIDE BY THE RULES:

Every employee of the University shall conform to and abide by the rules and Regulations and shall observe, comply with and obey all orders and directions which may, from time to time, be given to him in the course of his official duties by any authority under whose jurisdiction, superintendence or control he is placed for the time being.

## 14) TAKING PART IN POLITICS AND ELECTIONS:

- a) No employee shall have political leanings, take part in political activities or be associated with any party or organization having political affiliation.
- b) No employee shall aid or assist in any manner any political movement or activity unless he proceeds on leave after obtaining the permission of the Board of Management specifically for the purpose and proceeds on appropriate leave.

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**15) CONNECTION WITH MEDIA:**

- a) No employee shall, except with the prior sanction of the Board of Management, own wholly or in part or conduct, or participate in editing or managing any newspaper or other publication.
- b) No employee shall, publish any letter or article in any newspaper, journal or participate in any talk / discussion on the Radio or T.V. which may be derogatory or which may lead to unseeing controversies or embarrassment to the University.
- c) The above rules do not however preclude an employee from writing books, engaging in a work of literary, scientific, managerial or artistic character without any detriment to his legitimate duties.

**16) RESIGNATION:**

- a) Employees must submit a handwritten letter of resignation addressed to the Vice Chancellor.
- b) Employees can resign by giving 3 (Three) months prior written notice ending with the last day of the Academic Session i.e. 30th OF JUNE, EVERY YEAR.

**Note-1:** Provided that, if the employee resigns without notice, his services are treated as terminated and not entitled for any certificate from APU.

**Note-2:** Any employee resigning with proper notice as per service contract has to submit the "No Due Certificate" from Library, IT Section, Accounts Branch, Estate Section and Head of the Department / School / Section. After receiving the No Due Certificates and handing over the keys of the accommodation, if allotted, the final settlement will be made by post dated Account Payee cheque only on the last day of the service with the prior approval of the Vice Chancellor.

**17) OBLIGATION TO MAINTAIN SECRECY:**

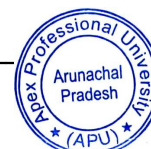
- a) No employee shall, while in service or after his retirement, resignation or discharge, except in accordance with any general or special order of the Vice-Chancellor or, in performance in good faith of the duties assigned to him, communicate directly or indirectly to any other person to whom he is not authorized to communicate such document or information.
- b) Do not take any matter & affair of the University to home and do not bring any personal matter & affairs to the University. Discussion and involvement of either side is not allowed.

**18) PRIVATE TRADE OR BUSINESS:**

- a) An employee shall efficiently, to the best of his / her ability to devote his whole time to the service of the University and shall not without written permission of the Board of Management engage directly or indirectly in any trade or business whatsoever or any other work which may interfere with the proper discharge of his duties.
- b) An employee will not appear in any examination or attend classes or training without prior approval of the Vice Chancellor.
- c) Provided that an employee may undertake further studies in any educational institution, college or University with prior sanction of the competent authority, subject to the condition that it does not interfere with the proper discharge of his duties.

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**19) MISLEADING OF STUDENTS:**

No employee of the University by speech or otherwise seeks to mislead the students into activities, which in the judgment of the Vice-Chancellor are objectionable.

**20) FOREIGN NATIONAL:**

The University employee who has married or marries a person other than that of Indian nationality shall forthwith intimate the fact to the University.

**21) INFLUENCING SUPERIOR AUTHORITIES:**

No employee shall bring or attempt to bring any kind of influence to bear upon any superior officer or a member of any University authority to further his interests in respect of matters pertaining to his service in the University.

**22) BIGAMOUS MARRIAGE:**

No employee shall enter into or contract a marriage with a person having a spouse living. No employee, having a spouse living, shall enter into, or contract marriage with any person.

**23) CONSUMPTION OF INTOXICATING DRINKS AND DRUGS:**

An employee of the University shall:

- a) Strictly abide by any law relating to intoxicating drinks or drugs in force in any area in which he may happen to be for the time being,
- b) Not be under the influence of any intoxicating drink or drug during the course of his duty,
- c) Refrain from consuming any intoxicating drink or drug in a public place, and not appear in public in a state of intoxication.

**24) CRIMINAL PROCEEDINGS:**

Any employee who gets involved in any criminal proceedings shall be deemed to have been relieved of his/ her responsibilities immediately from the time and date of the competent authority receiving such information against him/ her.

**25) ATTENDANCE AT MEETINGS:**

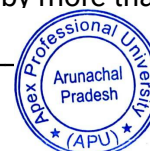
- a) An employee who is appointed as a member of a Committee duly constituted by the University must attend all meetings of such Committee and maintain secrecy.
- b) If, for unavoidable reasons, he is unable to attend any meeting, he should send prior intimation to the **CONVENOR** of the Committee stating the reason for his absence in writing.
- c) If any member of the committee does not attend two consecutive meetings, the convenor will report to the Vice Chancellor and request for replacement.

**26) REPRESENTATIONS:**

Whenever an employee wishes to put forth any claim, or seeks redressal of any grievance, he may forward his representations through proper channel to the Grievances Redressal Committee in accordance with Statutes No. 48 of the University and shall not send the copies of representation to any higher authority, unless the Grievances Redressal Committee has rejected the claim or refused relief, or the disposal of the matter is delayed by more than three

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months.

**27) RAISING SUBSCRIPTIONS:**

No employee shall RAISE SUBSCRIPTION except for routing farewell or felicitation functions connected with the University.

**28) BREACH OF CONDUCT RULES:**

Any breach of the above rules or other rules of the University by the employee shall be treated as "misconduct" and the employee shall be liable for disciplinary action and imposition of penalty in accordance with the procedure laid down in these rules.

**29) RECOVERY:**

Every employee will also be responsible for the safe custody of the furniture, books, apparatus, record and such other articles entrusted to him/her and in case of any damage or loss, Registrar shall have the right to make good the same from his/ her salary or other dues besides taking any other disciplinary action as they may deem fit or proper on the approval of the Vice Chancellor.

**30) SUSPENSION:**

- a) The University may suspend you from any or all of your duties during any period in which the University is investigating any disciplinary matter involving you or while any disciplinary procedure against you is pending. In such circumstances, suspension is a neutral act.
- b) An employee who is detained in custody, whether on a criminal charge or otherwise for a period exceeding 48 hours shall be deemed to have been suspended with effect from the date of detention. However, the Registrar shall issue an order of suspension with the approval of the Vice-Chancellor and such employee shall remain suspended until further orders without pay.
- c) At any time during this process the Employee may be suspended with or without pay or directed to perform suitable alternative duties.
- d) An order of suspension may at any time be revoked by the authority who made that order.

**31) TREATMENT OF PERIOD OF SUSPENSION:**

- a) When the employee under suspension is reinstated, the competent authority may grant him the following pay and allowances for the period of suspension:
  - i. If the employee is exonerated and not awarded any of the penalties then he/she will be paid half basic pay without allowances; and
  - ii. If otherwise, treated as absence from duty and leave without pay.
- b) The period of absence from duty shall be treated as a period spent on leave without pay. It shall not be treated as a period spent on duty unless the competent authority so directs.
- c) If an employee under suspension is dismissed or removed from service, the period of suspension shall be treated as such.





### 32) DISCIPLINARY ACTION AND AUTHORITY:

Disciplinary action may include one or more of the following penalties, which may be imposed on any employee of the University for good and sufficient reason.

#### a) Minor Penalties:

- i. Counselling;
- ii. Advisory Memo in writing;
- iii. Formal written warning, censure or reprimand;
- iv. Attendance at training;
- v. Fine upto salary of three days
- vi. Transfer to an alternative position;
- vii. Suspension with or without pay.
- viii. Withholding of a salary increment or promotion
- ix. However, when an employee is absent from duty in a calendar year (January to December), penalty will be imposed as below:

Sr. No.	Period of absence	Penalty
1.	1 to 3 Days	Actual Salary
2.	4 to 9 Days	Actual Salary + 25% of the pay per day

- x. In the event of Late IN or Early Out or Biometric Attendance of an employee not being completed without any justified reason, the penalty shall be as below:

Sr. No.	Occasion in a month	Penalty
1.	1st and 2nd	10% of the pay per day
2.	3rd to 5th	25% of the pay per day
3.	6th Onward	50% of the pay per day

#### b) Major Penalties:

- i. Withdrawing Allowances / Other Benefits for a period not exceeding twelve months.
- ii. Withdrawal up to three increments without cumulative effect.
- iii. Recovery of the whole or part of the pecuniary loss caused to the University.
- iv. Reduction to a lower service, grade or post or to a lower time scale or to a lower stage in a time scale.
- v. Compulsory retirement.
- vi. Removal from the service of the University which does not disqualify him for future employment.
- vii. Dismissal from the service of the University which disqualifies him for future employment.



- viii. Prosecution in fit cases.
- ix. Withdrawing Allowances / Other Benefits for a period not exceeding three years.
- x. Withdrawal up to five increments with cumulative effect for a period not exceeding three years.
- xi. The University may dismiss, discharge, or terminate the services of any employee without following the procedure for handling reported misconducts, if the employee has been given the punishment of imprisonment by a court of law.

**c) Disciplinary Authority:**

- i. The Vice Chancellor is empowered to impose major penalties to Teaching Staff and Non Teaching Staff with the approval of the Chancellor.
- ii. The Registrar is empowered to impose minor penalties to Non-Teaching staff (excluding Statutory Officers of the University) and Teaching staff with the approval of the Vice Chancellor.

**d) Principles of Disciplinary Procedure:**

- i. Counseling will be offered, where appropriate, to resolve problems.
- ii. No disciplinary action will be taken against any employee until the case has been fully investigated.
- iii. At every stage in the procedure the employee will be advised of the nature of the complaint against him or her and will be given the opportunity to state his or her case before any decision is made.
- iv. The level of any formal action will be dependent on the seriousness of the offence, having regard to the need for fairness and natural justice. The procedure is internal to APU and may or may not allow for any external representation.
- v. Where necessary a verbal / written warning may be given by the Reporting Officer. However, a record of a verbal / written warning needs to be kept on the employee's personnel file held by *Establishment Section* and may be used in future proceedings.

**33) PROCEDURE FOR DISCIPLINARY ACTION:**

- a) Where an Employee is alleged to have engaged in misconduct, the Registrar will notify the Employee of the allegations. The Employee will be provided with a reasonable opportunity to provide a response to the allegations.
- b) At any time during this process the Employee may be suspended with or without pay or directed to perform suitable alternative duties.
- c) Where the Employee admits the allegation(s) in part or in full, or does not respond to the allegation(s), the Registrar will determine what disciplinary action, if any, is to be taken.
- d) If the Employee denies the allegation(s):
  - i. The Vice Chancellor, will constitute committee for an investigation into the allegation(s);
  - ii. Where the matter involves an allegation of Sexual Harassment, the investigation will be conducted in accordance with the provisions of the Sexual Harassment Rules of the Government of India.
- e) At the conclusion of the investigation, a report will be prepared which will include all



- relevant findings of fact, documents relied upon and any mitigating circumstances and it shall contain;
- i. A gist of the articles of charge and the statement of imputations of misconduct or misbehavior;
  - ii. A gist of the defense of the employee in respect of each article of charge;
  - iii. An assessment of the evidence in respect of each article of charge; and
  - iv. The findings on each article of charge and the reasons thereof.
- f) A copy of the report will be provided to the Employee who will have 5 working days to respond to the report.
  - g) If satisfied that an Employee has engaged in misconduct, the **Disciplinary Authority** may take such disciplinary action as is considered appropriate in the circumstances and will notify the Employee of the action to be taken.
  - h) Where the Vice Chancellor is considering termination of employment the Employee will be entitled within 5 working days to make a submission to the Chancellor as to why his/her employment should not be terminated.**
  - i) The Chancellor will be briefed by the University and the Employee or Employee's Representative and will be provided with a copy of the disciplinary report.
  - j) Where an Employee has reasonable grounds to believe that the disciplinary action imposed is unreasonable, the Employee may initiate a Dispute in accordance with Clause 39 of this Rule.
  - k) Nothing in this clause precludes the University from terminating the employment of an Employee without notice for misconduct.
  - l) The University will consider any reasonable request by the Employee or their representative to extend the periods specified in clauses 33(f) and 33(h) of this Rule.

### 34) SERVICE OF NOTICES, ORDERS:

- a) Any order, notice, communication, letter or other document or process made or issued under these rules shall be served on such employee:
  - i. By email or by posting on University Official websites.
  - ii. By delivering it to that employee by hand; or
  - iii. If it cannot be so delivered or tendered, by affixing a copy on the notice board of the University.
  - iv. By forwarding it by registered post, addressed to the employee at the place where he ordinarily resides or at the last known address or latest address available on record. If sent by registered Post shall be deemed to have been received on the 5th business day of uninterrupted postal service following the date of mailing.
  - v. An endorsement by the serving officer that the employee refused to accept the document or an endorsement by the postal authorities that the employee refused to take delivery or that he could not be found or that he was absent shall be deemed to be prima facie proof of such service.
- b) The address as indicated in the application for employment by the employee shall be deemed to be correct for sending any communication. Every communication addressed to the employee at the given address shall be deemed to have been served.

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- c) In case of any change in the residential address of the employee the same will be intimated by the employee within three working days to the Registrar under acknowledgement. The University will address all communication to the latest address available on record.

**35) POWER TO RELAX TIME LIMIT AND TO CONDONE DELAY:**

Save as otherwise expressly provided in these rules, the Chancellor under these rules to make any order may, for good and sufficient reasons or if sufficient cause is shown, extend the time specified in these rules for anything required to be done under these rules or condone any delay.

**36) VINDICATION OF ACTS AND CHARACTER:**

No employee shall, except with the prior written permission 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 act of defamatory character provided nothing in this rule shall be deemed to prohibit an employee from vindicating his private character or any act done by him in his private capacity.

**37) DRESS CODE:**

All employees are expected, at all times, to present a trustworthy, knowledgeable professional image to students, stakeholders and the general public. Thus, it is important for all employees to be dressed appropriately and present a well-groomed appearance at the office every day. All employees shall comply with the attire notified by the Registrar from time to time.

The following items are considered inappropriate working attire for University:

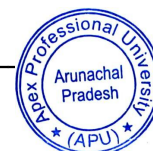
- Spaghetti-strapped shirts
- Tank tops or revealing shirts
- Short mini skirts
- Collarless T-shirts with inappropriate or offensive gestures or prints
- Sheer clothing
- Slippers

**38) DISPUTE RESOLUTION:**

- a) Grievances will mean any problem, concern or complaint related to work, workload or the work environment which an Employee believes to be unfair, inequitable, or discriminatory provided that a grievance may not be raised about any matter covered by a separate review process under this Rule.
- b) The following is the procedure for resolving Grievances:
- i) *an Employee with a Grievance will first discuss it with their immediate Reporting Officer;*
  - ii) *if the Employee is not satisfied with the outcome of action taken under clause 38 (a) (i) above then the Employee may refer the Grievance to the Registrar in writing.*
  - iii) *the Registrar will consider the matter as soon as practicable and inform the Employee within 5 working days either of the decision in the matter or of the action proposed.*

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- c) If the Employee is not satisfied with the outcome of action taken under clause 38 (b) above then
- i) *the Employee may notify the VC or nominee.*
  - ii) *The VC or nominee, on being notified of the existence of a Grievance, will act promptly to have the matter resolved.*

### 39) DISPUTE SETTLEMENT PROCEDURES:

- a) Parties to the Dispute will attempt to resolve the issues at local level in the first instance.
- b) Where the Dispute is not resolved, or is impracticable to settle locally, either party to the Dispute may refer the Dispute to the Vice Chancellor in writing.
- c) Where a Dispute is lodged it will set out in writing the provision of the Service Agreement and / or APU Service Rules to which the Dispute relates, be particularised and state the outcome being sought.
- d) Upon receipt of a written notice of a Dispute by the Vice Chancellor, an appropriate representative of the parties will discuss the Dispute and attempt to reach agreement within 10 working days.
- e) The parties may agree to adopt an interim resolution on a trial basis which may include adjustments to the timeframes within this clause where appropriate.
- f) After meeting in accordance with clause 39(d) of this Rule, the University may declare that a Dispute is vexatious including because the Employee has notified multiple disputes on the same or similar subject matter. Where a Dispute is declared vexatious it will be deemed to be not resolved and clause 39(h) of this Rule will apply.
- g) If the Dispute is resolved, all parties will be notified in writing as soon as practicable of the details of resolution.
- h) If the Dispute is not resolved as provided at clause 39(d) of this Rule.
  - i) Either party may refer the Dispute to the Grievance Redressal Committee (GRC) or tribunal of arbitration consisting of one member appointed by the Vice Chancellor, one member nominated by the employee and umpire appointed by the Chancellor for resolution within 10 working days;
  - ii) If the Dispute is referred to:
    - the GRC, the GRC may deal with the Dispute through conciliation and/or arbitration in order to resolve the Dispute and the outcome of which will be binding on the Employee; or
    - Tribunal of Arbitrator may deal with the Dispute as agreed by the parties; and
- i) If the Dispute is not referred for resolution within the specified time frames then the Dispute lapses.
- j) The parties to a Dispute may extend the time frames under this clause by agreement in writing.

### 40) APPEALS AGAINST DISCIPLINARY ACTION:

- a) If Grievance Redressal Committee (GRC) or Tribunal or Arbitrator is unable resolve the matter amicably within 45 days, an employee of the University, who is aggrieved by the action of the Disciplinary Authority, shall have the right to represent against such action to the Board of Management in accordance with section 42 of the Apex Professional

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Legislated by Govt. of Arunachal Pradesh u/s 2(f) of UGC Act

University Act, 2012 (No. 7 of 2013).

- b) An employee of the University aggrieved by any order imposing penalty passed against him shall be entitled to prefer an appeal against the said order to the Board of Management. Such an appeal should be submitted **within three month** from the date of communication of the order imposing penalty.
- c) The Board of Management shall consider whether the:
  - i) Facts on which the order was based have been established,
  - ii) Facts established afford sufficient ground for taking action and
  - iii) Penalty is excessive, adequate or inadequate; and after such consideration, shall pass such order as it thinks proper.
- d) Every appeal preferred under these rules shall contain all material statements and arguments relied on by the appellant and shall contain no disrespectful or improper language, and shall be complete in itself.
- e) Every such appeal shall be addressed to the authority to which the appeal is preferred and shall be submitted through the proper channel to which the appellant belongs.
- f) Any employee of the University, who is aggrieved by the decision of the Board of Management in respect of any disciplinary action taken against him, may address a representation to the Chancellor in such manner as may be prescribed by the Rules or in accordance with CCS (CCA) Rules, 1965 and the decision of the Chancellor shall be final.

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**PROPRIETARY, CONFIDENTIAL AND PRIVILEGED INFORMATION**

*Verify Current Version Prior to Use*



*Neelika Barua*