



**YENEPOYA**

(DEEMED TO BE UNIVERSITY)

Recognized under Sec 3(A) of the UGC Act 1956

Accredited by NAAC with 'A' Grade

**6.2.2 - Effectiveness and efficiency of functioning of the Institutional bodies as evidenced by policies, administrative setup, appointment and service rules, procedures etc.**

**Any other relevant  
information**


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# Policies/ Standard Operating Procedures (SOP)

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# Standard Operating Procedures on Anti Ragging

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## Curbing the menace of Ragging in Higher Education Institutions

### Monitoring committee & Students Grievance resolution

#### Standard Operating Procedures (SOP)

**Preamble:** UGC has issued strict guidelines to curb the menace of ragging in higher educational institutions (ref no. D.O. No. F.1-15/2009(ARC) pt-III dated 25th July 2017).

Yenepoya (Deemed to be University) has maintained a rigid stance on the menace of ragging. The University has reiterated zero tolerance to all forms of ragging and in pursuance of this we have set up Anti Ragging Committee, Anti Ragging Squad, Anti Ragging Cell, installation of CCTV cameras at vital points and also regular sensitization of students, to dissuade them from indulging or abetting in any kind of ragging—

All the fresh students are advised to ensure that no incidents of ragging take place and that the fair name of the University is upheld at all times.

#### Scope:

1. To work towards sensitizing the students / freshers about the harmful effects & side effects of ragging / harassment in any form, be it mental or physical and to disseminate information on means/ modes to report such incidences.
2. To prevent the occurrence of any incidences of ragging / harassment by adopting student friendly measures like surprise squad visits to the hostels and on campus , Engaging the faculty as floor observers , to prevent any incidences of intimidation or assault , either verbal or physical amongst the students in the academic block
3. To ensure a safe and ragging free campus

#### Objective:

The monitoring committee of the College / University aims for the satisfactory resolution of student grievances pertaining to ragging and harassment by other students /seniors on campus/ in hostels

#### Composition:

The composition of the monitoring committee of the University is as follows:

- Pro VC – Chairman
- Registrar
- Principal YMC
- Principal YDC
- Controller of Examinations
- Finance Officer
- Assistant Registrar

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- Student welfare officers
- Security officer
- Senior resident wardens of hostels
- Campus administrator

The composition of the **monitoring committee of the constituent colleges** is as follows:

- Dean – Chairman
- Vice Dean
- SI / officer in-charge of the local police station
- Senior faculty
- Student welfare officer
- Wardens of the Girls & Boys hostels

**Measures/ Initiatives taken to curb ragging in the campus:**

- The anti-ragging measures and initiatives in the hostel and college to prevent ragging are explained to parents and the students in person by the Principal & the Class coordinators.
- Students are informed about anti ragging committee with the mail Id & Phone number of all the members of the committee.
- Students are made aware of anti ragging measures taken by the Institute and the University.
- Students and parents are informed about the link available in the University website about anti-ragging and also about the *UGC help line number* to lodge their complaint about incidence of ragging/harassment, if any.
- Posters on Anti ragging measures and the consequences are widely & prominently on display in the colleges.
- Senior students are sensitized about the consequences of ragging and advised not to involve themselves and/ or support ragging.
- Day squads are arranged.
- Night visits to the hostels by the anti ragging squads are in place.
- Students are informed to contact anti ragging squad for any complaints or support.
- Mentors are allotted to the students and they are once again briefed by the mentors about anti ragging measures initiated in the campus.
- Student Welfare Officers address the students about the preventive measures with respect to Hostel and the University campus.
- Students are also informed to report to Warden/SWO/Faculty/Mentor, if they face any incidences of ragging in the campus / hostel .

**Mode of functioning of the monitoring committee in case of a ragging complaint:**

- The aggrieved student lodges a verbal / written complaint of harassment through the Warden / SWO / Faculty/Mentor to the Principal of the institution.
- The complaint is received and an enquiry committee is constituted by the Principal to look into / verify the complaint.
- The committee conveys its decision / recommendation after due enquiry, to the Principal.
- The Principal of the Institution can request the University monitoring committee to conduct an enquiry in case the complaint is of a very grave nature.

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- Appropriate measures will be taken by the University Monitoring Committee after the enquiry.

**The student (If established as guilty) shall be punished after following the procedure laid down and in the manner prescribed herein under:**

- a. The Anti-Ragging Committee of the institution shall take an appropriate decision, in regard to punishment or otherwise, depending on the facts of each incident of ragging and nature and gravity of the incident of ragging established in the recommendations of the Anti-Ragging Squad.
- b. The Anti-Ragging Committee may, depending on the nature and gravity of the guilt established by the Anti-Ragging Squad, award, to those found guilty, one or more of the following punishments, namely;
  - a) Suspension from attending classes and academic privileges.
  - b) Withholding/ withdrawing scholarship/ fellowship and other benefits.
  - c) Debarring from appearing in any test/ examination or other evaluation process.
  - d) Withholding results.
  - e) Debarring from representing the Institution in any regional, national or international meet, tournament, youth festival, etc.
  - f) Suspension/ expulsion from the hostel.
  - g) Cancellation of admission.
  - h) Rustication from the institution for period ranging from one to four semesters.
  - i) Expulsion from the institution and consequent debarring from admission to any other institution for a specified period.
  - j) Provided that where the persons committing or abetting the act of ragging are not identified, the institution shall resort to collective punishment.

At every stage, it is to be noted that the purpose of regulation is preventive (so all the preventive steps enumerated in the Anti Ragging Regulation shall be complied with letter and spirit as first principle of implementation of Anti Ragging Regulation) and then corrective- as no means of retribution can resurrect the wrong done to victim and to obliterate the possibility of institutional shelter to wrong doer, it is categorically provided that where in the opinion of the appointing authority, a lapse is attributable to any member of the faculty or staff of the institution, in the matter of reporting or taking prompt action to prevent an incident of ragging or who display an apathetic or insensitive attitude towards complaints of ragging, or who fail to take timely steps, whether required under these Regulations or otherwise, to prevent an incident or incidents of ragging, then such authority shall initiate departmental disciplinary action, in accordance with the prescribed procedure of the institution, against such member of the faculty or staff. Provided that where such lapse is attributable to the Head of the institution, the authority designated to appoint such Head shall take such departmental disciplinary action; and such action shall be without prejudice to any action that may be taken under the penal laws for abetment of ragging for failure to take timely steps in the prevention of ragging or punishing any student found guilty of ragging.

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# Standard Operating Procedures on Anti Discrimination

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## Special Cell for SC/ST/Minority/OBC

### Standard operating protocols (SOPs)

“To ensure the effective implementation of the reservation policy in admission and recruitment, Special cell for SC/ST/Minority/OBC is in the University.”

The purpose of this Cell is to help the university in implementing the reservation policy with regard to the admission of students and the recruitment of teaching and non-teaching staff at various levels.

### Objectives:

1. To implement the reservation policy for SC/ST/Minority/OBC is in the University and Colleges.
2. To collect data regarding the implementation of the policies in respect of admissions, appointments to teaching and non-teaching positions in the university, and in the constituent colleges and analyse the data showing the trends and changes towards fulfilling the required quota.
3. To take such follow up measures for achieving the objectives and targets laid down for the purpose by the Government of India and the UGC.
4. To implement, monitor and evaluate continuously by the reservation policy in universities and colleges and plan measures for ensuring effective implementation of the policy and programme of the Government of India.

### Functions

1. To circulate Government of India and Commission's decisions and to collect regularly, on an annual basis, information regarding course-wise admissions to candidates belonging to the Scheduled Casts and Scheduled Tribes in the Universities and Colleges for different courses, in forms prescribed, by a stipulated date, and to take follow up action, where required.
2. To circulate Government of India orders and Commission's decisions and to collect information in respect of appointment, training of these communities in teaching and non-teaching posts in the Universities and colleges, in suitable forms by a stipulated date and take follow up action where required.
3. To collect reports and information regarding the Government of India orders on the various aspects of education, training and employment of SC/ST/ Minority/ OBC candidates, for evolving new policies or modifying existing policy by the Commission.

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4. To deal with representations received from SC/ST/ Minority/ OBC candidates regarding their admission, recruitment, promotion and other similar matters in Universities/ Colleges.
5. To monitor the working of the remedial coaching scheme after due approval in the constituent colleges of the University.
6. To function as a Grievances Redressal cell for the Grievances of SC/ST/ Minority/ OBC students and employees of the university and render them necessary help in solving their academic as well as administrative problems.
7. Any other work assigned from time to time to promote higher education among these two communities suffering economic, social and education deprivations.
8. The SC/ST/ Minority/ OBC Cell exclusively looks after the work related to SC/ST/ Minority/ OBC matters and no other work is assigned to the Cell.
9. The committee will also look into the discrimination complaints received from the SC/ST/Minority/ OBC students/ teachers and non teaching staff of the University

At the end of each academic year, the Coordinator / In-charge of the Special Cell will submit an Appraisal report duly countersigned by the Liaison Officer through the Registrar, to the UGC, indicating a consolidated statement of the data, the progress achieved and the problems faced by the Cell. The action-taken by the Cell to implement the policy should be highlighted. The report on implementation of the reservation policy in the university should indicate the percentage in admissions, appointments in teaching and non-teaching staff, allotment of staff quarters, rooms in hostels etc. together with the analysis of the report.

#### University Advisory Committee Scheme of functioning

For effective implementation of policies and programs of the reservation policy for the SC/ST/ Minority/ OBC, the University Advisory Committee will consist of the following members.

1. Vice Chancellor – Chairman
2. Liaison Officer – In the rank of professor – Convener
3. Two to three Principals/Deans of constituent colleges
4. Two or three Heads of Departments/Centers
5. Two or three faculty members in the cadre of Lecturer level.
6. One co-coordinator of SC/ST cell – Member Secretary

Some of these members should belong to the SC/ST/Minority/OBC categories. The Committee should meet twice a year to review the position and to solve the problems. The work relating to the implementation of the reservation policy may be monitored by the above stated Committee.

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# Standard Operating Procedures on Gender Sensitization

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## GENDER SENSITIZATION CELL

### Standard Operating Procedures

#### Preamble:

The gender sensitization cell is constituted to create positive social norms in the campus that value every individual, irrespective of their gender. It aims to engage gender champions to challenge and shift gender norms in the society which are not positive towards girls under the guidance of their teachers.

#### Vision:

To strengthen the potential of students to be responsible leaders who facilitate enabling environment, where girls are treated with dignity and respect, and to advocate for gender equality and monitor progress towards gender justice.

#### Objectives:

1. To sensitize about social/cultural constructions of gender in society
2. To create awareness about gender equality
3. To identify & train gender champions who advocate for gender equality

#### Gender Sensitization Cell Members:

Sl. No	Name of the members
1.	Dr. Leena K C, Principal YNC, Convener
2.	Dr. Cynthia Arunachalam, Prof & HOD, Ophthalmology, YMCH
3.	Dr. Raghavendra U Associate Prof, Biochemistry, YMC
4.	Dr. Gladys Colaco, Assistant Prof. MSW
5.	Mrs. Sunita Prabhu, Student Welfare Officer
6.	Ms. Smitha D, Associate Prof, YPC
7.	Dr. Meera Jacob, Assistant Professor, Anatomy YMC
8.	Dr. Neha Haswani Assistant Professor, Microbiology, YMC
9.	Mr. Kevin Joakim Pinto, Tutor, Physiology, YMC
10.	Dr. Sruthy Prathap, Reader, Dept of Peridontics, YDC

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*(Handwritten Signature)*

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11.	Dr. Shailesh Shenoy, Assistant Professor Dept of Pedodontics, YDC
12.	Dr. Mallikarjun R, Lecturer Dept of Prosthodontics, YDC
13.	Dr. Pallavi, Lecturer, Dept of Oral Pathology, YDC
14.	Mrs. Renita Priya D'Souza, Assistant Professor YNC
15.	Mrs. Indumathi, Lecturer, YNC
16.	Ms. Mudasir Rashid Baba, Assistant Professor YPC
17.	Ms. Sanjana A, Assistant Professor, YPCRC
18.	Ms. Chaithra L Shetty, Lecturer, YIASC&M
19.	Dr. Priyadarshini Nambiar, Associate Professor , Yenepoya Ayurveda College Hospital
20.	Dr. Melita Alva, Associate Professor, Yenepoya Homoeopathy Medical College

**Members of the cell:**

The cell consists of a convener, a secretary, and 15 representatives from constituent colleges including teachers, student welfare officer and assistant physical director.

One student from each constituent college will be co-opted for the cell

**Number per batch:** Two

**Tenure of the cell:** 2 years

**Budget:** Yenepoya (deemed to be University)

**Activities:** As per guidelines given by UGC

**Eligibility criteria for gender champions**

1. Good oral, written, presentation skills
2. Should have demonstrated leadership and organizational qualities
3. Good understanding of socio-cultural issues and prevailing gender norms and practices
4. Willing to engage in initiatives to reduce gender disparity (students, peer, family members)
5. Willing to make use of time and effort to mentor his/her peer
6. Is easily recognizable by students/peers as a supporter of gender equity
7. Willing to undergo training

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### Selection Process and functioning of gender champions

1. Display eligibility criteria in the notice board
2. Receive applications from interested candidates
3. Shortlist candidates with the help of a screening committee (2 students: one male, one female; one lady teacher) verify credentials, interview, selection. Send the list of students and their nodal teacher incharge to the cell by October 10<sup>th</sup> 2018
4. Cell will issue gender champion badge.


### Responsibilities of gender champions

1. Undergo training, in consultation with nodal teachers
2. Plan and initiate activities
3. Maintain gender champions' diary.
4. Prepare report of activities

### Duties of Nodal teachers

1. Identify gender champions
2. Provide guidance, for activities
3. Participate in meetings of gender champions
4. Motivate students to pursue activities
5. Communicate with wide range of stakeholders to facilitate work of gender champions
6. Facilitate for organizing training programs /events
7. Maintain list of gender champions and updated record of activities.
8. Collect quarterly report, assess, and send report to the cell through head of institutions
9. Assess each gender champion based on report quarterly and at the end of the tenure

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# Standard Operating Procedures on Grievance Redressal

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## **University Student Grievance Redressal Committee (USGRC)**

In accordance with

University Grants Commission (Redress of Grievances of Students) Regulations


### **Introduction**

In order to cater to the grievance redressal processes of students effectively, grievance redressal committee has been established at all the constituent colleges/units of Yenepoya (Deemed to be University). Further, to review the functioning of the individual college level committees and cater to the students enrolled in the University departments and centres, a University level Grievance redressal committee has been constituted. Any new academic unit established subsequent to the notification of the committee will also come under the purview of this committee.

### **Objectives of USGRC:**

- To provide opportunities to redress the grievances of students enrolled in constituent units/departments/centres institution, as well as those seeking admission to the institution.
- To provide a congenial and peaceful educational atmosphere for the students in the institution by developing a compassionate, receptive and responsible attitude among all the stakeholders.
- To uphold the respect and decorum of the University by making sure all the students study in a stress free atmosphere by promoting a warm and congenial relationship among the students and teachers.
- To enable students to freely express their problems and grievances without fear of being persecuted.
- To instill the qualities of self discipline and self restraint among the students by being patient and not to express avoidable and unwarranted grievances.

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## Scope of USGRC

USGRC scope includes the following matters.

*Academic matters:* This will include academic and examination related matters, attendance shortage, completion of clinical quota, etc.

*Non academic matters:* Misbehavior, misconduct or any wrong doing affecting student's well being and learning atmosphere in the college.

## Duties and purpose of USGRC

- To provide guidelines for the functioning of the students grievance committee of the constituent units.
- To review all the grievances redressed by the constituent units and also to redress the grievances of students of centres/departments.
- To address student grievance redressal directly at the University level wherever necessary and the grievances through UGC portal.
- To take necessary action if the grievance is not addressed at the institution level.

## Constitution of USGRC:

(i) The Vice Chancellor of the University shall constitute the University Student Grievance Redressal Committee (USGRC). The USGRC will take up grievances arising from colleges/departments/centers, on the basis of the jurisdiction assigned to it by the Vice Chancellor.

- a) A senior Professor of the University – Chairperson;
- b) Two Principals drawn from the constituent units, other than those connected with reports of CSGRC under review, nominated by the Vice-Chancellor – Members
- c) A representative from among students of the college to be nominated by the Vice Chancellor based on academic merit/excellence in sports/performance in co-curricular activities – Invitee.
- d) Student Welfare or equivalent – Member Secretary

(ii) The Chairperson, members and the invitee shall have a term of two years.

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(iii) The quorum for the meeting, including the Chairperson, but excluding the special invitee, shall be three.

(iv) In considering the grievances before it, the USGRC shall follow principles of natural justice.

(v) The USGRC shall send its report and recommendations, if any, to the Principal of the constituent units relating to the grievance/Head of the department/School/Institution with a copy thereof to the aggrieved student, within 15 days of the receipt of the grievance.

### **PROCEDURE FOR REDRESSAL OF GRIEVANCES BY THE STUDENT GRIEVANCE REDRESSAL COMMITTEE:**

#### **Grievance lodging**

- The student(s) may present the grievance(s) in writing detailing the nature of grievance in an unambiguous way.
- The grievance has to be addressed to the Dean of the respective unit or the student welfare officer.

#### **Redressal mechanism**

- On receipt of the grievance(s) from student(s), the Dean of the respective unit shall convene a meeting of the grievance redressal committee.
- The meeting should be convened taking into consideration of time to obtain necessary baseline information for deliberations in the committee.
- The proceedings of the meeting to be drawn clearly indicating the deliberations and decisions taken.
- A communication indicating the decisions taken by the committee should be made to the aggrieved.
- In the event, the student(s) not being satisfied by the decision, they shall be at liberty to approach the University grievance committee.
- The University Student redressal committee in addition to addressing the grievances of above nature shall also address the grievances of students of the University departments and centres.

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- In the eventuality of the student being aggrieved by the decision of the USGRC, the student may prefer an appeal to the University nominated Ombudsperson within a period of fifteen days from receipt of such a decision, in compliance with the UGC regulations.
- The University shall comply with the recommendations of the Ombudsperson.
- The Ombudsperson may recommend appropriate action against the complainant, where a complaint is found to be false or frivolous.
- The University Student redressal committee shall periodically review the redressal mechanism of the constituent units.
- The appellate authority shall be the Vice Chancellor of the University in respect of student grievance mechanism.



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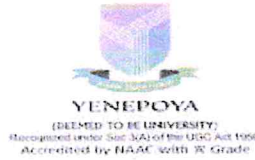
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# **Standard Operating Procedures on Internal Complaints Committee against Sexual Harassment at Workplace**

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## Internal Complaints Committee

### Standard Operating Procedures (SOP)

#### Preamble

Sexual harassment at a workplace is considered violation of women right to equality, life and liberty. It creates an insecure and hostile work environment, which discourages women's participation in work, thereby adversely affecting their social and economic empowerment and the goal of inclusive growth.

With more and more women joining the workforce both in organized and unorganized sectors ensuring and enabling working environment for women through legislation is felt imperative by the government. The Supreme Court of India in the case of Vishaka v/s State of Rajasthan (1997) 7 SCC 323, also reaffirmed that sexual harassment at workplace is a form of discrimination against woman and recognised that it violates the constitutional right to equality and provided guidelines to address this issue pending the enactment of a suitable legislation.

It is, thus, proposed to enact a comprehensive legislation to provide for safe secure and enabling environment to every woman irrespective of her age or employment status (other than domestic worker working at home), free from all the forms of sexual harassment by fixing the responsibility on the employer as well as the district Magistrate or Additional District Magistrate or the Collector or Deputy Collector of every district in the state as a district officer and laying down a statutory redressal mechanism. In this context it is mandatory that every institution is required to constitute Internal Complaints Committees to ensure safe and secured working environment for the women employees.

#### 1.0.Vision

To promote a safe, secured and harassment free working environment for every women employee and students working/studying in the constituent institutions of Yenepoya (Deemed to be University).

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## 2.0.Objectives

1. To receive complaints related to sexual harassments experienced by women employees, conduct inquiries and recommend appropriate actions to be taken by the University.
2. To conduct educational activities for the various categories of employees of the constituent institutions to promote gender equality and gender equity.
3. To create gender sensitization among all categories of employees and students through posters, stickers and other audio visual media.

## 3.0.Composition of the Internal Complaint Committee (ICC)

The ICC shall consist of the following members to be nominated by the employer:

1. A Chairperson who shall be a woman a senior level at workplace from amongst the employees: Provided that in case a senior level woman employee is not available, the Chairperson shall be nominated from other offices or administrative units of the workplace referred to in sub-section (1) of the Act.

Provided further that in case the other offices or administrative units of the workplace do not have a senior level woman employee, the Chairperson shall be nominated from any other workplace of the same employer or other department or organization

2. Not less than two Members from amongst employees preferably committed to the cause of women or who have had experience in social work or have legal knowledge;
3. One member from amongst non-governmental organizations or associations committed to the cause of women or a person familiar with the issues relating to sexual harassment: provided that at least one-half of the total members so nominated shall be women.
4. The Chairperson and every Member of the Internal Committee shall hold office for such period, not exceeding three years, from the date of their nomination as may be specified by the employer.
5. The Member appointed from amongst the non-governmental organizations or 'associations shall be paid such fees or allowances for holding the proceedings of the Internal Committee, by the employer, as may be prescribed.

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#### **4.0.Termination of members**

Where the Chairperson or any Member of the Internal Committee,

- (a) Contravenes the provisions of section 16; or
- (b) Has been convicted for an offence or an inquiry into an offence under any law for the time being in force is pending against him; or
- (c) He has been found guilty in any disciplinary proceedings or a disciplinary proceeding is pending against him; or
- (d) Has so abused his position as to render his continuance in office prejudicial to the public interest, such Chairperson or Member, as the case may be, shall be removed from the Committee and the vacancy so created or any casual vacancy shall be filled by fresh nomination in accordance with the provisions of this section.

#### **5.0.Key responsibilities of Internal Complaints Committee**

1. To ensure that each complaint is addressed responsibly and impartially facilitating just and fair inquiry process without retaliation (for complainants or the witnesses).
2. To deal with Sexual Harassment grievances.
3. To maintain confidentiality and an attitude of empathy at all times towards both the accused and the accuser.
4. To carry out capacity building interventions for members and staff focusing on building skills on identification and handling of grievances.
5. To document proceedings from the time of receipt of complaint until its conclusion.
6. To be aware of the national policies regarding sexual harassment and obtain legal opinion and procure the services of a lawyer specializing in the issue whenever necessary.
7. To counsel and maintain a sensitive attitude towards both accused and accuser at all times.
8. To investigate such complaints and take appropriate corrective action.
9. Vice Chancellor is the APPELLATE authority.

#### **6.0.Meetings and Minutes**

Internal Complaints Committee should meet as often as is deemed necessary to carry out its duties, but at least once in every six months. To establish a quorum at least one-half of the

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committee members must be present. A record of each meeting should be maintained and distributed to each appointed member, which includes the following:

1. The date of meeting
2. An indication of members present and absent
3. Points discussed
4. Decision taken, person responsible and target date
5. Proposed date and time of next meeting
6. Follow up of previous meeting decisions
7. Human resources and quality assurance department to co ordinate committee activities and maintain documentation.

#### **7.0. Complaint procedure**

##### **Complaint of sexual harassment**

(1) Any aggrieved woman may make, in writing, a complaint of sexual harassment at workplace to the Internal Committee within a period of three months from the date of incident and in case of a series of incidents, within a period of three months from the date of last incident: Provided that where such complaint cannot be made in writing, the Chairperson or any Member of the Internal Committee shall render all reasonable assistance to the woman for making the complaint in writing: Provided further that the Internal Committee for the reasons to be recorded in writing, extend the time limit not exceeding three months, if it is satisfied that the circumstances were such which prevented the woman from filing a complaint within the said period.

(2) Where the aggrieved woman is unable to make a complaint on account of her physical or mental incapacity or death or otherwise, her legal heir or such other person as may be prescribed may make a complaint under this section.

#### **8.0. Inquiry into complaints**

(1) Subject to the provisions of section 10, the Internal Committee, shall, where the respondent is an employee, proceed to make inquiry into the complaint in accordance with the provisions of the service rules applicable to the respondent and where no such rules exist, in such manner as may be prescribed if prima facie case exist, forward the complaint to the police, within a period of seven days for registering the case under section 509 of the Indian Penal Code (45 of 1860), and any other relevant

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provisions of the said Code where applicable: Provided that where the aggrieved woman informs the Internal Committee that any term or condition of the settlement arrived at under sub-section (2) of section 10 has not been complied with by the respondent, the Internal Committee shall proceed to make an inquiry into the complaint or, as the case may be, forward the complaint to the police:

Provided further that where the parties are employees, the parties shall, during the course of inquiry, be given an opportunity of being heard and a copy of the findings shall be made available to both the parties enabling them to make representation against the findings before the Committee.

Notwithstanding anything contained in section 509 of the Indian Penal Code (45 of 1860), the; it may, when the respondent is convicted of the offence, order payment of such sums as it may consider appropriate, to the aggrieved woman by the respondent, having regard to the provisions of section 15.

For the purpose of making an inquiry under sub-section (1), the Internal Committee shall have the same powers as are vested in a civil court under the Code of Civil Procedure, 1908 (5 of 1908) when trying a suit in respect of the following matters, namely:

- a. Summoning and enforcing the attendance of any person and examining him on oath;
- b. Requiring the discovery and production of documents; and
- c. Any other matter which may be prescribed.

The inquiry under sub-section (1) shall be completed within a period of ninety days.

#### **9.0. Action during pendency of inquiry**

##### **Action during pendency of inquiry**

1) During the pendency of an inquiry, on a written request made by the aggrieved woman, the Internal Committee may recommend to

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- a. transfer the aggrieved woman or the respondent to any other workplace;  
or
  - b. grant leave to the aggrieved woman up to a period of three months;  
or
  - c. grant such other relief to the aggrieved woman as may be prescribed,
2. The leave granted to the aggrieved woman under this section shall be in addition to the leave she would be otherwise entitled.
3. On the recommendation of the Internal Committee under sub-section (1), the employer shall implement the recommendations made under sub-section (1) and send the report of such implementation to the Internal Committee.

#### **10.0 Inquiry report**

- 1) On the completion of an inquiry, the Internal Committee shall provide a report of its findings to, the employer within a period of ten days from the date of completion of the inquiry and such report be made available to the concerned parties.
- 2) Where the Internal Committee arrives at the conclusion that the allegation against the respondent has not been proved, it shall recommend to the employer that no action is required to be taken in the matter.
- 3). Where the Internal Committee arrives at the conclusion that the allegation against the respondent has been proved, it shall recommend to the employer to deduct, notwithstanding anything in the service rules applicable to the respondent, from the salary or wages of the respondent such sum as it may consider appropriate to be paid to the aggrieved woman or to her legal heirs, as it may determine, in accordance with the provisions of the section, provided that in case the employer is unable to make such deduction from the salary of the respondent due to his being absent from duty or cessation of employment it may direct to the respondent to pay such sum to the aggrieved woman: provided further that in case the respondent fails to pay the sum referred to in clause (ii), the Internal Committee may forward the order for recovery of the sum as an arrear of land revenue to the concerned District Officer.
- 4).The employer or the District Officer shall act upon the recommendation within sixty days of its receipt by him.

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**11.0. Punishment for false or malicious complaint and false evidence.**

(1) Where the Internal Committee arrives at a conclusion that the allegation against the respondent is malicious or the aggrieved woman or any other person making the complaint has made the complaint knowing it to be false or the aggrieved woman or any other person making the complaint has produced any forged or misleading document, it may recommend to the employer to take action against the woman or the person who has made the complaint under sub-section (1) or sub-section (2) of section 9, as the case may be, in accordance with the provisions of the service rules applicable to her or him or where no such service rules exist, in such manner as may be prescribed:

Provided that a mere inability to substantiate a complaint or provide adequate proof need not attract action against the complainant under this section:

Provided further that the malicious intent on part of the complainant, shall be established after an inquiry in accordance with the procedure prescribed, before any action is recommended.

(2) Where the Internal Committee arrives at a conclusion that, during the inquiry any witness has given false evidence or produced any forged or misleading document, it may recommend to the employer of the witness to take action in accordance with the provisions of the service rules applicable to the said witness or where no such service rules exist, in such manner as may be prescribed.

**12.0. Determination of compensation**

For the purpose of determining the sums to be paid to the aggrieved woman under clause (ii) of sub-section (3) of section 13, the Internal Committee shall have regard to

(a) The mental trauma, pain, suffering anti-el-notional distress caused to the aggrieved woman;

(b) The loss in the career opportunity due to the incident of sexual harassment;

(c) Medical expenses incurred by the victim for physical or psychiatric treatment;

(d) The income and financial status of the respondent, feasibility of such payment in lump sum or in installments.

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ksomayan  
REGISTRAR

# Reservation Policy

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**YENEPOYA**

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Recognized under Sec 3(A) of the UGC Act 1956

Accredited by NAAC with 'A' Grade

## Reservation Policy

*Amended vide BOM-YU/REG/PA/BOM-48/Not/2o20 dtd. 02.01.2020*

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## YENEPOYA

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Accredited by NAAC with 'A' Grade

Name of the Policy/ Guidelines	Reservation Policy
Short Description	Policy and guidelines on Reservation
Scope	This policy is applicable to Yenepoya (Deemed to be University) and all its constituent colleges and departments
Policy status	Revised
Year of approval of Version 1	2011
Revision	YES
Effective date	13.12.2019
Approval Authority	Board of Management
Responsible officer	Registrar

Registrar

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भारत सरकार  
राष्ट्रीय अल्पसंख्यक शैक्षणिक संस्था आयोग  
GOVERNMENT OF INDIA

NATIONAL COMMISSION FOR MINORITY EDUCATIONAL INSTITUTIONS

प्रथम तल, जीवन तारा भवन, 5, संसद मार्ग,  
पटेल चौक, नई दिल्ली-110001  
1st Floor, Jeevan Tara Building, 5, Sansad Marg,  
Patel Chowk, New Delhi-110001

Dated.....

C E R T I F I C A T E

THIS IS TO CERTIFY THAT BY THE ORDER DATED 02<sup>ND</sup> DAY OF NOVEMBER 2011 PASSED BY THE NATIONAL COMMISSION FOR MINORITY EDUCATIONAL INSTITUTIONS, NEW DELHI IN CASE NO. 1306 OF 2011 (YENEPOYA UNIVERSITY, UNIVERSITY ROAD, DERALAKATTE, MANGALORE, KARNATAKA V/S PRINCIPAL SECRETARY, HIGHER EDUCATION DEPARTMENT, GOVERNMENT OF KARNATAKA), THE YENEPOYA UNIVERSITY, MANGALORE, KARNATAKA RUN BY THE YENEPOYA UNIVERSITY TRUST HAS BEEN DECLARED AS A MINORITY EDUCATIONAL INSTITUTION COVERED UNDER SECTION 2 (g) OF THE NATIONAL COMMISSION FOR MINORITY EDUCATIONAL INSTITUTIONS ACT, 2004.

GIVEN UNDER MY HAND AND THE SEAL OF THE COMMISSION ON THIS 02<sup>ND</sup> DAY OF NOVEMBER 2011.

 ATTESTED  
Dr. Gangadhara Somayaji K.S.  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore - 575 018, Karnataka

  
(RAJ SINGH)  
SECRETARY





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University Road, Deralakatte, Mangaluru – 575 018

No.YU/REG/PA/BOM-48/Not/2020

Date: 02.01.2020

## **NOTIFICATION**

**Sub: Approval of Yenepoya(Deemed to be University) Reservation Policy.**

**Ref: 48<sup>th</sup> meeting of BoM held on 13.12.2019 – Agenda 10.**

It was resolved to accept the Reservation Policy of Yenepoya (Deemed to be University) as per the article 30 of Indian Constitution with respect to religious minority institutions.

*G. Somayaji*

Registrar

To:

Dy. Director, QAC  
Academics

**ATTESTED**

*G*  
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## RESERVATION POLICY

### YENEPOYA (DEEMED TO BE UNIVERSITY)

The following Reservation Policy of Yenepoya (Deemed to be University) will be applicable to all admissions in academic year 2019-20, other than the admissions in MBBS and BDS:

1. 50 % of total seats in all programs will be reserved for Indian Muslims.
2. 50 % of total seats in all programs will be filled up by open merit.

Out of 1 and 2 above:

- a. One seat in each program where the number of seats is more than 10 will be reserved for the wards of Yenepoya (Deemed to be University) Employees.
  - b. Courses where the number of seats is 10 or less, no seat will be reserved for wards of Yenepoya (Deemed to be University) Employees, however such candidates will be given an additional 10% weightage of marks/score obtained in Qualifying/Entrance Exam/Interview.
  - c. 10% weightage in marks will be given to the following categories:
    - i. Sports persons fulfilling the defined criteria.
    - ii. Yenepoya (Deemed to be University) students.
    - iii. Candidates from Yenepoya School for admission in undergraduate programs,
    - iv. Few seats in each self-financing undergraduate program may be filled up by nomination of eligible candidates by the Management. The number of nominations would be kept to the barest minimum.
3. Weightage of 5% of marks obtained in the Entrance Test / Interview will be given to the SC/ST candidates.
  4. Relaxation of 5% in the required percentage of marks for the eligibility will be given to SC/ST candidates provided a copy of certificate from the competent authority is enclosed with the application form.
  5. 5% seats in all programmes will be reserved for Physically Challenged/ Physically Handicapped candidates.

Yenepoya (Deemed to be University | University reservation policy



Registrar

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Page 33 of 299

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# Information Technology and Communication Policy

ATTESTED



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# IT Policy (2021)

ATTESTED



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## YENEPOYA

(DEEMED TO BE UNIVERSITY)

Recognized under Sec 3(A) of the UGC Act 1956

Accredited by NAAC with 'A' Grade

Name of the Policy/ Guidelines	IT Policy
Short Description	Policy and guidelines on IT
Scope	This policy is applicable to Yenepoya (Deemed to be University) and all its constituent colleges and departments
Policy status	Revised
Year of approval of Version 3	2021
Revision	Yes
Effective date	05-04-2021
Approval Authority	53 <sup>rd</sup> Board of Management
Responsible officer	Registrar

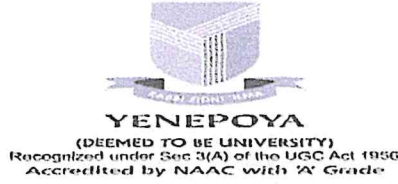
**RAJESH K. KARKERA**  
Deputy Director

Information and Communications Technology  
Yenepoya (Deemed to be University)  
Deralakatte, Mangaluru-575018

Registrar  
YENEPOYA  
(Deemed to be University)

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University Road, Deralakatte, Mangaluru – 575 018

No. Y/REG/PA/BOM-52/Notification/001/2021

Date: 31.03.2021

## **NOTIFICATION**

**Sub: Information Technology Department Policy - reg.**  
**Ref: 53<sup>rd</sup> meeting of the BoM held on 23.03.2021 – Agenda 7.**

As discussed under Agenda 7 of the 53<sup>rd</sup> Board of Management Online meeting held on 23<sup>rd</sup> March 2021, it was resolved to approve the Information Technology Department Policy and the same is being notified with effect from 31<sup>st</sup> March 2021.

Dr. Gangadhara Somayaji K.S.

Registrar

Registrar  
YenePOYA (Deemed to be University)  
University Road, Deralakatte  
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Encl:

Information Technology Department Policy.

To:

Dy. Director, IT

Copy to:

IQAC/Academics.

**ATTESTED**

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**INFORMATION TECHNOLOGY DEPARTMENT**

**POLICY GUIDELINES**

**ATTESTED**

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Registrar  
YENEPOYA  
(Deemed to be University)

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## Abbreviations and Acronyms

1. ATM Automatic Teller Machine
2. BOQs Bill of Quantities
3. BOU Basic Operation Unit
4. BYOD Bring Your Device
5. CDs Compact Discs
6. CD-ROMS Read-only memory compact discs
7. CDRW Read/Write CD
8. DBA Database Administrator
9. DAS Direct Attached Storage
10. DVDs Digital Video Discs
11. FTP File Transfer Protocol
12. GFS Grandfather-Father-Son
13. IT Information Technology
14. IT C Information and Communication Technology Centre
15. IEEE Institute of Electrical and Electronics Engineers
16. IS Information System
17. ISO International Organization for Standardisation
18. IP Internet Protocol
19. IP Intellectual Property
20. IPsec Internet Protocol Security
21. LCD Liquid Crystal Display
22. MIS Management Information System
23. LAN Local Area Network
24. NAS Network Attached Storage
25. NFS Network File System
26. OIC Officer in Charge of Campus
27. PDAs Personal Digital Assistant
28. PSTN Packet-Switched Telephone Network
29. POC Point of Contact (30) SSH Secure Shell
30. SANs Storage Area Networks
31. SLA Service Level agreement
32. SQL Structured Query Language
33. Telnet A terminal emulation program for TCP/IP networks such as the internet
34. TCP Transmission Control Protocol
35. UPS Uninterrupted Power Supply
36. UMIS University Management Information System
37. VPN Virtual Private Networks
38. WAN Wide Area Network
39. Wi-Fi Wireless Fidelity
40. WWW World wide web
41. ZIP "Zip" is the generic file format of a compressed archive

## 1. Introduction to the policy

### 1.1 Preamble

Information Technology has been globally recognised as an essential vehicle of "growth and development" in the new millennium. Yenepoya (Deemed to be University) has taken up Information Technology & Communication (IT) as the principal engine of rapid growth. The IT departments committed to deploying IT services as an effective tool for catalysing accelerated and efficient governance in university operation

The University has invested in a strong IT base, which supports teaching, learning, research, and management. The University recognises IT as a prime mover and driver in stimulating creativity and innovation in the current highly technologically driven environment. The strategic role of IT can, therefore, not be gainsaid. The performance and visibility of the University are determined to a great extent by its IT function.

It is against this background that the University has taken the initiative of developing and regularly reviewing a blueprint that will guide in the design, development, implementation, and effective use of the IT services and resources.

### 1.2 Statement of purpose

The purpose of this IT policy is to outline the acceptable use guidelines for IT equipment and services at the University. This policy intends to promote a culture of openness, trust, and integrity. These are general guidelines on what can be done, and what should not be done, on the University IT infrastructure to ensure efficient and effective use of University IT resources; protect IT resources from injurious actions, including virus attacks, data loss, unauthorised access, network, and system failures, and legal problems.

This policy seeks to guide designers, developers, and users of Information and IT resources on appropriate standards to be adopted at the University. Its objectives include to:

- Guide in developing a pervasive, reliable and secure communications infrastructure conforming to recognised International standards supporting all services in line with the priorities of the University;
- Provide a framework for the development and management of IT network services that shall ensure the availability, reliability, enhanced performance, security, and reduce the cost of running the IT infrastructure;
- Establish information requirements and implement security across the University's IT infrastructure;
- Provide a framework, including guidelines, principles, and procedures for the development and implementation of management information systems in the University;



- Guide the handling of organisational information within the IT department and the University as a whole by ensuring compliance with applicable statutes, regulations, and mandates for the management of information resources; and thereby establish prudent practices on the internet and the university intranet use;
- Uphold the integrity and image of the University through defined standards and guidelines for ensuring that the content of the University's websites is accurate, consistent and up-to-date;
- Serve as the direction pointer for the IT's mandate in supporting users, empowering them towards making maximum use of IT services and resources and specifying the necessary approaches;
- To guide the process of enhancing user utilisation of IT resources through training;
- Outline the rules and guidelines that ensure users' PCs, and other hardware are in serviceable order, specifying best practices and approaches for preventing failure;

### 1.3 Scope of the university IT policy

This policy applies to any person accessing/developing/implementing and/or using IT-based Information and IT resources owned, managed, supported, or operated by, or on behalf of, the University. This includes all university staff and students; any other organisations accessing services over University IT resources; persons contracted to develop, repair, or maintain University's IT resources; and suppliers of outsourced IT services. This policy applies to all IT equipment, software, or other facilities that are owned or leased by the University.

Adherence to this policy applies to all these and other relevant parties.

## 2. Network development and management policy

### 2.1 Introduction

- a. The information and communications infrastructure at the University have evolved into a vast, complex network over which the education, research, and business of the University is conducted. It is envisaged that the network will integrate voice, data, and video, to form a unified information technology resource for the university community. Such a network shall demand adherence to a centralised, coordinated strategy for planning, implementation, operation, and support. Decentralisation shall be implemented through appropriate university structures.
- b. The university network functions shall be broken down into the following areas:
  - University Infrastructure development

- University backbone
  - Campus Local Area Networks (LANs)
  - Wireless networks
  - Virtual Private Networks (VPN)
  - Connection to, access and usage of IT facilities
  - New or changed use of IT equipment
  - Monitoring of network performance.
- c. This, therefore, shall require a policy that will secure the future reliability, maintainability, and viability of this valuable asset.

## 2.2 Objectives

- a. The objective of this policy is to establish a comprehensive and uniform Network Development & Management policy for the administration of the University IT infrastructure.
- b. This policy defines the arrangements and responsibilities for the development, installation, maintenance, and use and monitoring of the University's networks to ensure that, these networks are adequate, reliable, and resilient to support continued high levels of activity.

## 2.3 Scope

This policy applies to any person accessing or using the IT infrastructure owned, managed, supported, or operated by, or on behalf of the University. These include all university staff and students; any organisation accessing services over university IT networks; persons contracted to repair or maintain the University's IT networks; and suppliers of network services.

## 2.4 General network policy

### 2.4.1 The network

The University will develop and support a university-wide IT network as an underlying infrastructure service for the facilitation of sharing electronic information and resources by all members of the University. This includes all staff and students of the University, and other persons engaged in legitimate university business as may be determined from time to time.

#### 2.4.2 Universal availability

- a. The university network will be designed and implemented in such a way as to serve those located at the university campuses and, to a lesser extent, those located elsewhere.
- b. The ultimate goal is that every room in the University in which research, teaching, learning, or administration functions take place should be connected. And every member of the University should have the capability to access the University IT infrastructure.
- c. The network will form part of the general fabric or infrastructure of the University.
- d. There will be one coherent network supporting access to all general information services provided to the university members.

#### 2.4.3 reliability

- a. High levels of availability, reliability, and maintenance will be major objectives in the construction and operation of the University IT network.
- b. The design and construction of the university network will take into account emerging technologies and standards wherever possible.

### 2.5 University IT infrastructure development

#### 2.5.1 Development Plan

The IT will prepare a rolling five (5) year network development plan, advising on appropriate developments aimed at ensuring the adequacy of the University's IT infrastructure in the future. This plan will take account of the University's strategic plan; usage and demand patterns; technological change; security; management, and cost implications.

#### 2.5.2 Implementation of new developments

- a. Before the installation of the "live" situation, major network developments shall be "soak-tested" an off-line simulation.
- b. For up to two months after the live installation of the new development, the network provider that it is to be replaced shall, wherever possible, remain in place as a "fall-back" in the event of any subsequent failure of the new development when it is subject to actual user demand.

#### 2.5.3 IT network provision in new and refurbished buildings



- a. Network provision for new and refurbished buildings shall be made following the specification published from time-to-time by the IT Department.
- b. Where the network requirements are of specialised nature, the Head of the Facility/Department concerned shall seek further guidance from the Deputy Director IT.
- c. All new buildings to be erected in the University shall incorporate an appropriate structured cabling system to allow connection to the university network.

## 2.6 University backbone

### 2.6.1 Definition

The university network will consist of several parts: "Backbone" systems, a collection of inter-building connections; "Campus LANs," wireless networks (Hotspots); Virtual Private Networks (VPN), etc.

The university network backbone will comprise an inter-building cabling system, together with one or more "Gateway" interfaces at each building or in the path to each building which will connect the backbone to the network(s) within each building.

### 2.6.2 Structure of university backbone

- a. The university network backbone shall connect, singly or severally, to buildings, not to individual departments or units.
- b. The planning, installation, maintenance, and support of the university network backbone shall be under the control of the IT department.
- c. Connection to the university network backbone shall be approved by the Deputy Director, IT.
- d. The IT Department shall adhere to and maintain copies of all relevant networking standards, and keep abreast of national and international developments in these standards.
- e. The university network backbone at any particular point of time will be aimed at facilitating the traffic flow between connected buildings or networks.

## 2.7 Campus LANs

### 2.7.1 Definition

The respective OICs will take responsibility for the Campus LANs, namely, the necessary wiring and related equipment within existing buildings to allow connection to the LAN gateways.



### 2.7.2 Structure of campus LANs

- a. Wherever feasible, the network(s) within each building shall be arranged so that there is a point of connection to the university network backbone. In cases where it is not possible to establish a single connection, multiple building gateways may be installed.
- b. Network protocols used on building networks and communicating through the gateway must use approved configuration parameters, including approved network identifiers.
- c. Building networks connecting to the university network shall meet overall university network security and management requirements.
- d. In cases where there are constraints to connecting any building to the university network, backbone, consultations and subsequent approvals by the Deputy Director, IT shall be made to allow for alternative configurations.

## 2.8 Inter-campus connections

### 2.8.1 Definition

The inter-campus connections shall consist of the necessary services and related equipment that allow a remote campus or remote university office to access the central university backbone.

### 2.8.2 Structure of inter-campus connection

- a. Wherever feasible, the network(s) within each remote site will be arranged so that there will be one point of connection to the university network backbone. In cases where it is not possible to establish a single connection, multiple inter-campus connections may be established.
- b. Network protocols used on Inter-campus connections must use approved configuration parameters, including approved network identifiers.
- c. Inter-campus links connecting to the university network shall meet the university network security and management requirements.

## 2.9 Wireless networks

### 2.9.1 Definition

Wireless LAN also is known as hotspot or Wi-Fi are networks rolled out using radio waves to provide mobile network access as defined under IEEE 802.11 protocol.

### 2.9.2 Structure of wireless networks.

- a. Installation, configuration, maintenance, and operation of wireless networks serving on any property owned or rented by the University, are the sole responsibility of the IT department. Any independently installed wireless communications equipment is prohibited.
- b. Any request for the installation of a wireless device must be approved by Deputy Director, IT.
- c. Wireless access points shall terminate at a point of connection to the university network backbone. In cases where it is not feasible to establish a single connection, multiple wireless gateways may be installed limited to a maximum of three hops.
- d. Wireless networks connecting to the university network shall meet overall university network security and management requirements, including approved network identifiers.

## 2.10 Virtual Private Networks (VPN)

### 2.10.1 Definition

Virtual Private Network (VPN) extends university networks across the internet enabling users to send and receive data across shared or public networks as if they are directly connected to the university network while ensuring security and applicable policies are observed.

### 2.10.2 Structure of Virtual Private Networks

- a. Authorised users of University IT services shall be granted rights to use VPN connections if they intend to gain access to the University IT intranet services through public networks.
- b. By using VPN technology, users are subject to the same rules and policies that apply while on campus.
- c. Users of this service are responsible for procurement and cost associated with acquiring basic Internet connectivity, and any related products or services.
- d. It is the responsibility of the user with VPN privileges to ensure that unauthorised users are not allowed access to the university networks through their credentials.
- e. All VPN services are to be used solely for the approved university business or academic purpose.

- f. All VPN service usage shall be logged and subject to auditing.
- g. Network protocols used on VPNs and communicating through the gateway must use approved configuration parameters, including approved network credentials.

## 2.11 Access to IT facilities

### 2.11.1 Server Rooms, network racks, and IT network equipment

- a. All server rooms and network racks shall be locked at all times.
- b. Entry to server rooms and network racks, and interference with IT network equipment is strictly prohibited.
- c. Other than in an emergency, access to server rooms and network racks and IT network equipment shall be restricted to designated members of staff of the IT department. Any necessary access must have the prior written consent of the Deputy Director, IT.

### 2.11.2 Access in an emergency

- a. In the event of a fire or other emergency, security staff and/or staff of the maintenance department and/or the emergency services may enter these areas, without permission, to deal with the incident.
- b. Where IT network equipment is housed in rooms used for other purposes, the arrangements for access by the other user of the room shall require the prior written consent of the Deputy Director, IT. This consent shall specifically exclude access by the other user to any communications cabinets or IT network equipment located in the shared room.

### 2.11.3 Contractors

- a. Contractors providing IT network services must obtain the prior approval of the Deputy Director, IT and shall obtain the appropriate authorisation in compliance with procedures and regulations of the university security system.
- b. Contractors shall observe any specific access conditions which apply within the areas in which they will be working. These access conditions include, in all cases, that contractors working in main server rooms shall be accompanied by appropriate University IT personnel.

### 2.11.4 Installation of cabling

All installations and changes of electrical power cabling in facilities housing IT equipment shall be approved and managed by the maintenance department in consultation with the Deputy Director, IT in writing.



#### 2.11.5 Installation of equipment

The specification of any equipment to be installed in communications rooms and cabinets and the installation of such equipment shall require the prior written consent of the Deputy Director, IT.

#### 2.11.6 Network equipment

- a. Only designated members of the staff of IT are authorised to install and maintain active network equipment, including hubs, switches, and routers connected to the University's IT networks.
- b. Where the Deputy Director of IT agrees that academic staff or the IT department's technical staff may install and maintain hubs and switches within local staff or student networks, such permission will in every case specifically exclude the point at which these hubs and switches connect to the University's network infrastructure.

### 2.12 Connection to and usage of IT facilities

#### 2.12.1 Connecting to the IT network

- a. All connections to the University's IT networks must conform to the protocols defined by the IT Department and with the requirements that apply to Internet Protocol (IP) addresses.
- b. Only designated members of staff of the IT department, or other staff explicitly authorised by the Deputy Director of IT, may make connections of desktop services equipment to the IT network.
- c. Computer workstations connected to the IT network will not be set up to offer services to other users, for example, to act as servers, unless the prior written consent of the Deputy Director IT has been obtained. Such consent will normally exclude all external access

#### 2.12.2 External access to servers on the backbone network

- a. External access means access by a person's external to the University; access to the backbone network from external locations.
- b. Where specific external access is required to servers on the backbone network, the Deputy Director IT shall ensure that this access is strictly controlled and limited to specific external locations or persons.
- c. The Deputy Director IT will monitor compliance with access arrangements as stipulated in this IT Policy and the relevant IT security policy on server security issued by the University from time to time.



### 2.12.3 Domain Name Services

All Domain Name Services (DNS) activities hosted within the University shall be managed and monitored centrally, for the whole University, by the IT department.

### 2.12.4 Suspension and/or termination of access to IT networks

- a. A user's access to the University's IT networks will be revoked automatically:
    - i. At the end of studies, employment or research contract;
    - ii. At the request of the Director/Dean of Faculty/Head of Resource Centre/Head of Department or Head of Unit;
    - iii. Where there is a breach of these regulations
  - b. The University reserves the right to revoke a user's access to the University's IT network where the user is suspended under a disciplinary investigation.
  - c. The Registrar / Deans will establish mechanisms to ensure that changes in student/employment status are communicated immediately to the Deputy Director of IT so that their network access and email accounts can be suspended or deleted as appropriate immediately.
  - d. Abuses of or failure to comply with these arrangements shall result in immediate restriction or disconnection from the network.
- Procedures on the restriction of use
- a. Appropriate procedures shall apply in restricting usage after a formal complaint has been lodged or a breach of policy or rule has been reported or detected.
  - b. Any breach of IT policy shall be reported or communicated in writing to the Deputy Director, IT
  - c. Upon receipt of any such complaint, the Deputy Director, IT shall classify the complaint as "serious" or "non-serious." A "non-serious" complaint shall be defined as a breach of policy which does not subject the University to a cost nor any high risk.
  - d. When a complaint is classified as "non-serious," the Deputy Director, IT is authorised to impose any one of the following penalties:
    - i. Suspension of the account for a minimum period of four weeks.
    - ii. Permanent disabling of the account.

- e. When a complaint is classified as "serious," the Deputy Director, IT shall refer the complaint to the Vice-Chancellor/Registrar/Deans for appropriate action. The possible penalties may be any one or a combination of the following:
- i. Suspension of the account which will be communicated to the relevant Director/Dean and/or Head of Department or Section;
  - ii. Suspension of the account shall be for a minimum period of four weeks. Formal approval of the relevant Director/Dean and/or the Head of department or Head of section and a signed undertaking to abide by the Rules of Use shall be required before reinstatement of the account.
  - iii. Permanent disabling of the account shall be taken, where the severity of the offence warrants such action.
  - iv. Accounts may be reinstated before the end of the suspension period where either the student or staff presents information to the Deputy Director, IT, which indicates that he or she was not involved in the transgression of the rules of use, or the Director/Dean and/or the Head of department or Head of section requests the account be reinstated for employment/course-related work only (e.g. completion of an assignment). In this case, the user is required to sign an undertaking to abide by the Rules of use.
  - v. A system administrator can make a recommendation to disable an account to the Deputy Director, IT. The Deputy Director, IT, shall review the request. If it is considered to be, on the balance of probability, a transgression of the IT Policy, the account shall be suspended.
  - vi. Users should note that suspension of access to IT facilities also includes access to the terminal server password access, and as such dial-up modem access will be disabled where a user account is suspended.

#### 2.12.5 Additional or changed equipment

- a. The Deputy Director IT shall be advised in advance and at the earliest opportunity, of any plan to add items of desktop services equipment to or to replace or to relocate desktop equipment that is connected or that may require connection to the University's IT network.
- b. The Deputy Director IT shall assess the likely impact on the University's IT networks of the proposed change. The Deputy Director IT shall approve the proposed change only where appropriate adjustments can be made to accommodate any effects on network traffic that this change may cause.

#### 2.12.6 External data communications

- a. All external data communications shall be channelled through university-approved links.

- b. No external network connections shall be made without the prior written consent of the Deputy Director, IT.
- c. The installation and use of leased or private links on premises owned, managed, or occupied by the University shall require the prior written consent of the Registrar/Dean.
- d. The use of modems, leased or other means of access to other networks on equipment located on premises owned, managed or occupied by the University that are linked to the University IT network infrastructure, is prohibited, unless a proposal and justification for such connection have been authorised in writing by the Deputy Director, IT.

#### 2.12.7 Web filtering

The Deputy Director, IT shall be responsible for the implementation of appropriate filtering facilities for web-based and non-web Internet traffic, including MP3 traffic and other high bandwidth-intensive services that may not have direct educational or research value, where and when necessary in conformity with the IT policy and relevant IT guidelines that promote efficient and high availability of internet services to the majority of users.

#### 2.13 New or changed use of IT equipment

- a. The Deputy Director, IT shall be informed in advance of any plan that involves a new use, a change of use or addition to the University's IT networks that might impact on the performance or security of the network.
- b. The Deputy Director, IT, shall assess the likely impact of the proposed use and will advise on the consequential impact upon the performance of the University's IT network. Such changes shall be effected after approval by the Deputy Director, IT.

### 3. IT security and internet policy

#### 3.1 Definitions of terms

- a. Spam - Unauthorised and/or unsolicited electronic mass mailings
- b. "Chain letters," "Ponzi," "pyramid" schemes- Messages that purport to tell the addressee how, for a relatively small investment, the addressee can make huge amounts of money. There are several variations, but they are all based on a common fraudulent concept — that the addressee pays a relatively small amount of money to a few people above the addressee in a chain, with the expectation that later a very large number of people will be making similar payments to the addressee.
- c. Port scanning- Attempting to learn about the weaknesses of a computer or a network device by repeatedly probing it with a series of requests for information.



- d. Network sniffing -Attaching a device or a program to a network to monitor and record data travelling between computers on the network.
- e. Spoofing -The deliberate inducement of a user or a computer device to take an incorrect action by Impersonating, mimicking, or masquerading as a legitimate source.
- f. Denial of service -Procedures or actions that can prevent a system from servicing normal and legitimate requests as expected.
- g. Ping attack - A form of a denial of service attack, where a system on a network gets "pinged," that is, receives an echo-request, by another system at a fast repeating rate thus tying up the computer so no one else can contact it.

### 3.2 General use and ownership policy

#### 3.2.1 Roles

- a. While the IT department is committed to the provision of a reasonable level of privacy, the IT department shall not guarantee the confidentiality of personal information stored or transmitted on any network or device belonging to the University. The data created and transmitted by users on the IT systems shall always be treated as the property of the University.
- b. The IT department shall protect the University's network and the mission-critical university data and systems. The IT department shall not guarantee the protection of personal data residing on University IT infrastructure.
- c. Users shall exercise good judgment regarding the reasonableness of personal use of IT services. They shall be guided by IT policies concerning personal use of IT internet, intranet or extranet systems. In the absence of or uncertainty in such policies or uncertainty, they shall consult the relevant IT staff.
- d. For security and network maintenance purposes, authorised staff within the IT department shall monitor equipment, systems, and network traffic at any time as provided for in the network and development policy.
- e. The IT department shall reserve the right to audit networks and systems periodically to ensure compliance with this IT Policy.

#### 3.2.2 Securing confidential and proprietary information

- a. University data contained in IT systems shall be classified as either confidential or no confidential. Examples of Confidential Information include but are not limited to payroll data, human resource data, and research data. Employees shall take all necessary steps to prevent unauthorised access to confidential information



- b. Users shall keep passwords secure and shall not share accounts. Authorised users are responsible for the security of their passwords and accounts. System-level passwords shall be changed every month; user-level passwords shall be changed at least once every six (6) months.
- c. All PCs, laptops, and workstations shall be secured with a password-protected screensaver with the automatic activation feature set at 10 minutes or less, or by logging-off when the host is unattended.
- d. Postings by users from the university email address to newsgroups shall contain a disclaimer stating that the opinions expressed are strictly the user's and not necessarily those of the University unless posting is in the course and within the scope of official duties.
- e. All hosts connected to the university internet, intranet, or extranet, whether owned by the user or the University shall at all times be required to execute approved virus-scanning software with a current virus database.
- f. The user shall exercise caution when opening email attachments received from unknown senders, which may contain viruses, email bombs, or Trojan horse code.

### 3.3 Conditions of use of computing and network facilities

#### 3.3.1 Unacceptable system and network activities

The following activities shall be strictly prohibited, with no exceptions:

- a. Violations of the rights of any person or company protected by India's copyright, trademark, patent, or other intellectual property (IP) law and the University's Intellectual Property Policy, other relevant policies, or the University's code of conduct.
- b. Introduction of malicious programs into the network or server, for instance, viruses, worms, Trojan horses, or email bombs.
- c. Sharing of the university user accounts and passwords– users shall take full responsibility for any abuse of shared accounts
- d. Using the university computing resources to actively engage in procuring or transmitting material that could amount to sexual harassment or constitute the creation of a hostile work environment.
- e. Making fraudulent offers of products, items, or services originating from any the university account.
- f. Causing a security breach or disruptions of network communication. Security breaches include, but are not limited to, accessing data of which one is not an

intended recipient or logging onto a server that one is not expressly authorised to access unless this is within the scope of regular duties. For purposes of this section, "disruption" includes, but is not limited to, network sniffing, pinged attacks, packet spoofing, denial of service, and forged routing information for malicious purposes.

- g. Port scanning or security scanning unless prior notification to IT Department is made.
- h. Executing any form of network monitoring which will intercept data not intended for the originator's host computer, unless this activity is a part of an employee's normal job or duty.
- i. Circumventing user authentication or security of any host, network, or account.
- j. Interfering with or denying service to other network users, also known as a denial of service attack.
- k. Using any program, script, or command, or sending messages of any kind, with the intent to interfere with, or disable, another user's terminal session, via any means, locally or via the internet, intranet or extranet.
- l. Using the university network or infrastructure services, including remote connection facilities, to offer services to others within or outside the university premises on free or commercial terms.

### 3.3.2 Wireless network users responsibilities

- a. Any person attaching a wireless device to the university network shall be responsible for the security of the computing device and any intentional or unintentional activities arising through the network pathway allocated to the device
- b. The University accepts no responsibility for any loss or damage to the user computing device as a result of connection to the wireless network
- c. Users shall ensure that they run up to date antivirus, host firewall, and anti-malware software and that their devices are installed with the latest operating system patches and hotfixes
- d. Users shall authenticate on the wireless network for every session
- e. Wireless network users shall ensure that their computer systems are properly configured and operated so that they do not cause inconveniences to other university network users.
- f. The wireless network is provided to support teaching, research, or related academic activities at the University. Use of the university wireless network services for other purposes is prohibited

- g. Wireless network users shall get their network addresses automatically; a valid network address shall be granted when connected. The use of other network addresses is prohibited.

3.3.3 Appropriate use of electronic mail and communications facilities provided by the University are intended for teaching, learning, research, outreach, and administrative purposes. Electronic mail may be used for personal communications within appropriate limits.

#### 3.3.3.1 Appropriate use and responsibility of users

Users shall explicitly recognise their responsibility for the content, dissemination, and management of the messages they send. This responsibility means ensuring that messages:

- i) Our courteous and polite;
- ii) Are consistent with university policies;
- iii) Protect others' right to privacy and confidentiality;
- iv) Do not contain obscene, offensive or defamatory material;
- v) Are not used for purposes that conflict with the University's interests;
- vi) Do not unnecessarily or frivolously overload the email system (e.g. spam and junk mail);
- vii) Do not carry harmful content, such as viruses
- viii) Are not for commercial purposes

#### 3.3.3.2 Confidentiality and Security

- a. Electronic mail is inherently NOT SECURE.
- b. As the university networks and computers are the property of the University, the University retains the right to allow authorised IT, department staff, to monitor and examine the information stored within.
- c. It is recommended that personal confidential material is not stored on or sent through the University IT infrastructure.
- d. Users must ensure the integrity of their password and abide by university guidelines on passwords.
- e. Sensitive, confidential material shall not be sent through electronic mail unless it is encrypted.



- f. Confidential information shall be redirected only where there is a need and with the permission of the originator, where possible.
- g. Users shall be aware that a message is not deleted from the system until all recipients of the message and any forwarded or attached copies have deleted their copies.
- h. Electronic mail messages can be forged in the same way as faxes and memoranda. If a message is suspect, users shall verify authenticity with the IT Department.

#### 3.3.3.3 User indemnity

Users agree to indemnify the University for any loss or damage arising from the use of the University's email.

#### 3.3.3.4 Limited warranty

The University takes no responsibility and provides no warranty against the non-delivery or loss of any files, messages, or data nor does it accept any liability for consequential loss in the event of improper use or any other circumstances.

### 3.4 Bring Your Device (BYOD)

- a. Employees who prefer to use their personally-owned IT equipment for work purposes must secure corporate data to the same extent as on corporate IT equipment, and must not introduce unacceptable risks (such as malware) onto the corporate networks by failing to secure their equipment.
- b. BYOD users must use appropriate forms of user authentication approved by Information Security, such as user IDs, passwords and authentication devices.
- c. The following classes or types of corporate data are not suitable for BYOD and are not permitted on PODs:
  - i. Anything classified SECRET or CONFIDENTIAL;
  - ii. Other currently unclassified but highly valuable or sensitive corporate information which is likely to be classified as SECRET or above;
  - iii. Large quantities of corporate data (i.e. greater than 1 GB in aggregate on anyone POD or storage device).
- d. The University has the right to control its information. This includes the right to backup, retrieve, modify, determine access, and/or delete corporate data without reference to the owner or user of the device.



- e. The University has the right to seize and forensically examine any device within the university premises believed to contain, or to have contained, corporate data where necessary for investigatory or control purposes.
- f. Suitable antivirus software must be properly installed and running on all devices.
- g. Device users must ensure that valuable corporate data created or modified on the devices are backed up regularly, preferably by connecting to the corporate network and synchronising the data between the device and a network drive or on removable media stored securely.
- h. Any device used to access, store or process sensitive information must encrypt data transferred over the network (e.g. using SSL or a VPN)
- i. Since IT User support does not have the resources or expertise to support all possible devices and software, devices used for BYOD will receive limited support on a 'best endeavours' basis for academic purposes only.
- j. While employees have a reasonable expectation of privacy over their personal information on their equipment, the University's right to control its data and manage devices may occasionally result in support personnel unintentionally gaining access to their personal information. To reduce the possibility of such disclosure, device users are advised to keep their data separate from university data on the device in separate directories, clearly named (e.g. "Private" and "BYOD").
- k. Take care not to infringe other people's privacy rights, for example, do not use devices to make audio-visual recordings at work.

### 3.5 Password policy

#### 3.5.1 Rules

- a. All system-level passwords such as root, enable, windows server administration, application administration accounts, shall be changed at least once every month.
- b. All user-level passwords such as email, web, and desktop computer shall be changed at least once every six (6) months.
- c. User accounts that have system-level privileges granted through group memberships or programs such as "sudo" shall have passwords distinct from all other accounts held by such users.
- d. Passwords shall not be inserted into email messages or other forms of electronic communication.
- e. Passwords for the university accounts shall not be used for other non-university access such as personal ISP account, Yahoo Mail, and Bank ATM.

- f. All passwords shall be treated as sensitive, confidential university information. Users shall not share the university passwords with anyone, including administrative assistants or secretaries.
- g. Users shall not use the "Remember Password" feature of applications like Eudora, Outlook, and Netscape Messenger.
- h. Users shall not write passwords down and store them anywhere in their offices.

3.5.2 General password construction guidelines computer passwords are used for various purposes at the University. Since very few systems have support for one-time tokens, that is, dynamic passwords that are only used once, all users shall familiarise themselves with the following information on how to select strong passwords.

Poor, weak passwords have the following characteristics:

- a. The password contains less than eight characters
  - b. The password is a word found in English, Hindi or other dictionaries
  - c. The password is a common usage word such as:
    - i. Names of family, pets, friends, co-workers, or fantasy characters.
    - ii. Computer terms and names, commands, site, company, hardware, software.
    - iii. The words "university", "New Delhi", "Mangalore" or any such derivation.
    - iv. Birthdays and other personal information such as addresses and phone numbers.
    - v. Word or number patterns like aaabbb, qwerty, zyxwvuts, or 123321.
    - vi. Any of the above spelled backward.
    - vii. Any of the above preceded or followed by a digit such as ecret1, 1secret. Strong passwords have the following characteristics:
      - a. Contain both upper and lower case characters like a-z, A-Z.
      - b. Have digits and punctuation characters as well as letters such as 0-9, !@#\$%^&\*()\_+|=~\`{}[]:~';!<>?, or /.
      - c. Are at least eight alphanumeric characters long.
      - d. Are not words in any language, slang, dialect, or jargon, among others.
      - e. Are not based on personal information, or names of family, among others.
- (f) Where an account or password is suspected to be compromised, the affected passwords shall be changed immediately. The IT department shall be

alerted immediately to investigate the incident if it affects critical university information systems or processes.

### 3.6 Server security policy

#### 3.6.1 Ownership and Responsibilities

Any server deployed on the university IT network shall have an operational group that shall be responsible for its system administration. Operational groups shall monitor configuration compliance and shall implement an exception policy tailored to their environment. Each operational group shall establish a process for changing the configuration guides; if the server is executing critical university systems, this shall involve a final review and approval by the Deputy Director, IT.

- a. All servers shall be registered with the IT Department. At a minimum, the following information shall be forwarded:
  - i. Contacts of the system administrator
  - ii. The physical location of the server
  - iii. Hardware and operating system version in use
  - iv. Description of functions and applications of the server
- b. Configuration changes for servers shall follow the appropriate change management procedures.

#### 3.6.2 General configuration guidelines

- a. Server operating systems shall be configured in line with approved IT guidelines.
- b. Services and applications that are not used shall be disabled at all times, for instance, NFS, Telnet, and FTP.
- c. Access to services shall be logged and protected through access-control methods such as TCP Wrappers where possible.
- d. The most recent security patches shall be installed on the systems as soon as practical, the only exception being when an immediate application would interfere with business requirements.
- e. Antivirus software shall be installed and configured to update regularly.
- f. Trust relationships, such as through NFS, between systems, are a security risk, and these use shall be avoided. No trust relationship shall be used where alternative secure methods of communication are available.



- g. User access privileges on a server shall be allocated on "least possible required privilege" terms, just sufficient privilege for one to access or perform the desired function.
- h. Super-user accounts such as "root" shall not be used when a non-privileged account can do.
- i. If a methodology for secure channel connection is available, that is technically feasible; privileged access shall be performed over secure channels, for instance, encrypted network connections using SSH or IPsec.
- j. Servers shall be physically located in an access-controlled environment.
- k. It shall be prohibited to operate servers from uncontrolled or easily accessible areas.

### 3.6.3 Monitoring

- a. All security-related events on critical or sensitive systems shall be logged, and audit trails backed up in all scheduled system backups.
- b. Security-related events shall be reported to the system administrator in charge of servers, who shall review logs and report incidents to the IT department and the Deputy Director, IT. Corrective measures shall be prescribed as needed. Security-related events include, but are not limited to:
  - i. Port-scan attacks
  - ii. Evidence of unauthorised access to privileged accounts
  - iii. Anomalous occurrences that are not related to specific applications on the host.

### 3.7 Anti-Virus Policy

- a. All computers connected to the University IT network shall run the university standard supported antivirus software, and shall be configured to perform daily full-system and on-access scans.
- b. Antivirus software and the virus pattern files shall be kept up-to-date always through scheduled daily automatic updates.
- c. Computer laboratory administrators and owners of computers, in consultation with the relevant IT department personnel, shall be responsible for executing required procedures that ensure virus protection on their computers. Computers shall first be verified as virus-free before being allowed to connect to the university network.



- d. Once discovered, any virus-infected computer shall be removed from the university network until it is verified as virus-free.
- e. The following precautions shall be observed by all users to reduce virus problems. Users shall:
  - i. Never open any files or macros attached to emails from an unknown, suspicious or untrustworthy source. All such emails shall be deleted immediately and emptied from trash folders.
  - ii. Delete spam, chain, and other junk emails without forwarding, in compliance with the general use and ownership policy.
  - iii. Never download files from unknown or suspicious sources.
  - iv. Avoid direct disk sharing with reading/write access unless this is necessary.
  - v. Always scan removable media, including diskettes and memory sticks, from unknown sources for viruses before using.
  - vi. Backup critical data and system configurations regularly and store the data in a safe place.
  - vii. Not run any applications that could transfer a virus such as an email or file-sharing in a computer where the antivirus software is disabled. Such a computer shall be disconnected from the network.
  - viii. Periodically check for antivirus updates and virus alerts because new viruses are discovered almost every day.

### 3.8 VPN Policy

- a. Authorised users of University IT services shall be granted rights to use VPN connections if they intend to gain access to the University IT network services while outside the university premises.
- b. All VPN access shall be strictly controlled, using either one-time password authentication or a strong passphrase.
- c. When actively connected to the corporate network, VPNs will force all traffic to and from the PC over the VPN tunnel; all other traffic shall be dropped.
- d. All computers connected to the University's internal networks via VPN shall use the most up to date antivirus and anti-malware software that is the corporate standard,
- e. By using VPN technology with personal equipment, users must understand that their machines are a de facto extension of the University's network; these machines must be configured and used in compliance with this IT policy.

- f. VPN users shall automatically be disconnected from the University's network after thirty minutes of inactivity and the user required to log in again to reconnect back to the network. Pings or other artificial network processes to keep the connection open indefinitely are prohibited.

### 3.9 Server Rooms

- a. Servers shall be housed in a room built and secured for the purpose.
- b. The server rooms shall contain an adequate air conditioning system to provide a stable operating environment and to reduce the risk of system crashes due to component failure.
- c. No water, rainwater or drainage pipes shall run within or above computer server rooms to reduce the risk of flooding.
- d. Where possible the floor within the computer suite shall be a raised false floor to allow computer cables to run beneath the floor and reduce the risk of damage to computer equipment in the case of flooding.
- e. Power feeds to the servers shall be connected through the uninterrupted power supply (UPS) and surge protector equipment to allow the smooth shutdown and protection of computer systems in case of power failure.
- f. Where possible generator power shall be provided to the computer site to help protect the computer systems in the case of a mains power failure.
- g. Access to the server rooms shall be restricted to the authorised IT staff only.
- h. All non-IT Departmental staff working within the server room shall be supervised at all times, and the IT management shall be notified of their presence and provided with details of all work to be carried out, at least 24 hours in advance of its commencement.

### 3.10 Systems Backup Policy

#### 3.10.1 Responsibility

All IT Department sections that operate key university systems shall formulate and implement systematic schedules for performing regular backups on the systems in their custody. The following cadre of staff shall carry full responsibility concerning data backup implementation: The System Administrators and IT Assistants The responsible staff shall arrange to perform backups as scheduled at all times.

The Deputy Director IT shall be the principal backup custodian. Back-ups of critical systems shall be documented with the IT security office and handed over for safekeeping.

All responsible shall take necessary measures to ensure the integrity, confidentiality, and reliability of the back-ups.

### 3.10.2 Backup window

Backups for online systems shall be carefully scheduled to diminish any perceived degradation on system performance. Hence, backup windows shall be scheduled at specific times of the day where the most minimal interruption on system services is likely. As a rule of thumb, all major backups shall be scheduled to run at night or during weekends; times when demand for system services is expected to be generally low.

### 3.10.3 Backup inventory file

The IT department shall maintain a backup inventory file, which shall document all backups carried out on critical university systems. This shall provide mechanisms for quick monitoring and tracking of the implementation of scheduled back-ups.

All relevant backups, whether stored in removable backup media and/or on fixed media (hard-disks), shall be recorded in a backup inventory file.

The backup inventory file shall be kept in a safe storage area, under the custody of the IT Department.

### 3.10.4 Documenting Data Back-Ups

The following information shall be documented for all generated data backups:

- a. Date and time the data backup was carried out (dd/mm/yyyy: hh: mm).
- b. The name of the system or short description of the nature of the data
- c. Extent and type of data backup (files/directories, incremental/full).
- d. Backup hardware and software used (computer name, operating system, and version number).
- e. Sequence number if any (where multiple removable backup media are used).
- f. The physical location of the server and the logical path on file-system to the backup area, when fixed media (hard-disks) are used.
- g. Data restoration procedures. This may be a separate booklet or set of guidelines

The above information shall be filed in the backup inventory file. Removable media, besides, must carry proper labels documenting items (a) to (e).

### 3.10.5 Verification



There shall be a regular audit of all backup media. It is recommended that this exercise be carried out at least once every three months. A complete set of backup media shall be restored, on a temporary location, and then inspected for accurate data reconstruction.

A report on the outcome of the audit shall be generated and recorded in the backup inventory file.

#### 3.10.6 Storage

- a. Removable backup media shall be stored in a locked fireproof safe within an access-controlled room.
- b. A complete copy of the current removable backup set shall be moved to secure offsite storage once every month.

#### 3.10.7 Data Restoration Procedures

All step-by-step procedures needed to achieve complete data reconstruction and resumption of system operations from backups shall be documented. A hard copy of this document shall be filed in the backup inventory file.

#### 3.10.8 Backup Retention Period and Media Rotation Schedule

The retention period for backup media shall be set in such a manner as to minimise the risk of catastrophic loss of data at reasonable media cost.

The following guide, commonly known as the Grandfather-Father-Son (GFS) method, shall be adopted:

- a. Daily backups, known as the Son, shall be carried out on all, or selected days of the week;
- b. The last full daily backup in a week, known as the Father, shall be the weekly backup;
- c. Daily backups age only for the length of the week, hence the media shall be reused in the coming week;
- d. The weekly backups shall be retained for a month and shall be reused during the next month;
- e. The last full backup of the month is known as the monthly backup or the grandfather;
- f. The grandfather backups become the oldest and shall be retained for a year before the media can be reused.

Backup media must first be tested to guarantee their integrity before re-use. Media re-use must always begin with the oldest set.



### 3.10.9 Data Archiving

- a. IT Department is obliged to maintain archives of data of critical university systems for a time frame that is beyond the normal backup retention period, in case of the future need to refer to the data by the University or authorised Government agencies.
- b. For this purpose, in addition to normal backups, responsible staff shall arrange for a special backup scheduled at the close of each financial year for all sensitive data on respective systems.

### 3.10.10 Backup Media

- a. The following backup media are recommended.
  - i. Fixed computer hard drives. These can be located over the network on a separate computer or, most preferably, on equipment using specialised storage technology such as Direct Attached Storage (DAS), Network Attached Storage (NAS), and Storage Area Networks (SANs). The use of these media is recommended where fast, very frequent, and high capacity backups are required.

### 3.10.11 Backup Plans

Back-up plans, with the schedule of the general regular backup pattern for the key university systems, shall be documented. The ratified plan shall be authorised by the Deputy Director, IT, and filed in the backup inventory file. Persons responsible for back-ups shall carry out all back-ups as scheduled on the backup plan, but may also stipulate additional event-dependent intervals where necessary.

### 3.13 Internet usage policy

- a. All software used to access the internet shall be part of the university standard software suite or approved under the ISO standard.
- b. All users shall ensure that internet access software shall incorporate the latest security updates provided by the vendors.
- c. All files downloaded from the internet shall be scanned for viruses using the University's corporate antivirus software suite with the latest virus detection updates.
- d. All internet access software shall be configured to use stipulated gateways, firewalls, or proxy servers. Bypassing any of these servers shall be strictly prohibited.
- e. Accessed internet sites shall comply with the University's general use and ownership policy.

- f. Internet access traffic through the university IT infrastructure shall be subject to logging and review.
- g. The university Internet access infrastructure shall not be used for personal solicitations or personal, commercial ventures.
- h. All sensitive university materials transmitted over the internet shall be encrypted.
- i. Official electronic files shall be subject to the same rules regarding the retention of records that apply to other documents and information or records shall be retained following university records retention schedules.

#### **4. User Support Services Policy**

##### **4.1 Definition of Terms**

- a. IT projects: Any IT work or undertaking, and has a clear beginning and end, and is intended to create or deploy IT technology, product, knowledge, or service.
- b. Basic Operation Unit (BOU): A laboratory with or more computers used by academic, non-teaching staff or students for general use, research, in a classroom setting, and operated by an autonomous Department, School, Faculty, Institute, Centre or other Unit of the University.
- c. Hardware: All university-owned computer and peripheral equipment (such as printers, scanners, CD-ROMS (Read-only memory compact discs, network cards, and multimedia equipment.
- d. Tools and equipment: The stock of shared tools maintained both centrally at the IT department and within individual campuses for use by the support personnel.
- e. IT user support services: IT services directed at IT users to enable them effectively exploit IT technologies, products, and services available at the University. These shall mean all activities, carried out by the support personnel involving setup, creation, procurement and acquisition, installation and deployment, repair and training on IT products and services, to assist users in maximising expected utility and benefit
- f. Support coverage: Support site and deployment of support personnel following the assessed support load per site.
- g. Hardware support: Attending to problems associated with hardware categories as listed under the support policy.
- h. Software support: Attending to problems associated with software categories as listed under the support policy.

- i. MIS support: support for corporate Information Systems used by the University.

4.2 Introduction the IT department acquires, develops and develops a variety of IT technologies, products, and services in response to the academic business and related requirements of the University. Upon production, these requirements are distributed (or made available) to users. Thereafter, continuous and tailored support is necessary for users to fully exploit them. A policy guideline is necessary for this support.

#### 4.3 Policy Objectives

- a. A guideline for the IT user support service for enabling bona fide University IT users to productively exploit provided university IT resources.
- b. Specific Services include general user support service; PC and User Peripheral Service; Hardware Maintenance Service; Software Support Service, Network Support Service; IT Staff Professional Training Service; IT User Training Service; Operationalisation of IT Projects.

#### 4.4 Policy Scope

This guideline shall steer the activities of producers and consumers of IT technology, products, and services across the University.

##### 4.4.1 University IT projects and services

The Deputy Director, IT shall ensure that IT Support services are available to assist university IT users with technical and logistical support in the implementation (or roll-out) and operationalisation of IT technology, projects, products; and services.

4.4.2 Advocacy: The IT department through user support services shall provide users with consultancy services on IT related matters; it shall provide technical representation in all IT related meetings and committees in colleges and campuses; it shall communicate relevant user support information to users, and provide them with liaison interface (or escalation point) to the IT department.

##### 4.4.3 Support coverage

- i. Support sites shall be designated by campus and to some extent by function. These shall be as detailed in the schedule of support coverage in the standards document.
- ii. The IT Support function shall provide qualified support personnel at each university campus. IT support personnel shall be deployed following the assessed support load per support site (or campus). The load shall be proportional to the extent to which IT s are in use, determined mainly by the expansion of the university network and the number of users there off.



#### 4.4.4 Procurement support

The IT user support function shall assist users in deriving the technical requirements and specifications of all IT acquisitions and purchases. Other acquisitions and purchases must meet the minimum specifications as outlined in the IT procurement policy for all hardware, software, services, and consumables to guarantee support by IT under the categories outlined above. The IT user support function shall verify all IT acquisitions and purchases.

#### 4.4.5 Infrastructure support

The IT user support function shall assist users in carrying out surveys, design, requirements specifications, and preparation of BOQs, material acquisition, and supervision of the implementation of all IT infrastructures at the University.

#### 4.4.6 Hardware support

- i. The user shall be responsible for daily care and basic routine maintenance of IT hardware under their care as defined in the section on IT equipment maintenance policy.
- ii. On a second level, the IT support function shall support the hardware categories that are commonly required by users in their offices, computer rooms, laboratories, and lecture theatres to perform their job responsibilities. These shall include servers, desktop computers, laptop computers, printers, scanners, digital cameras, liquid crystal display (LCD) projectors, network access hardware, among others.

#### 4.4.7 Software and MIS support

- i. IT user support shall support software categories that are commonly required by users for use in their offices, computer rooms, laboratories, and lecture theatres to perform their job responsibilities.

#### 4.4.8 IT Services support

- i. The IT department shall support IT services that are commonly required by users in their offices, computer rooms, laboratories, and lecture theatres to adequately perform their job responsibilities.
- ii. Services acquisitions shall meet the minimum specifications as outlined in the IT procurement policy to guarantee support by IT.

#### 4.4.9 Departmental support

- i. The IT support function shall act as the second level support to the existing Computer Laboratory Administrator for University Basic Operation Units (BOU). IT department staff shall be available to consult or to help with significant problems.



- ii. The IT department shall not be available to provide basic and routine cleaning and simple troubleshooting for machines except where such computer laboratories are directly owned by the IT department

#### 4.4.10 Network devices

The IT department shall own core network active devices such as switches, routers, bridges, gateways and related equipment including enclosures, and shall be responsible for the following:

- a. Creating and maintaining an adequate operating environment (floor space, environment control, ventilation, backup power supply) for the equipment.
- b. Routine maintenance and upgrade of the equipment.
- c. Advising on all expenses incurred during repair, maintenance, and upgrade.

#### 4.4.11 Printing Facilities

A BOU in the University may implement a centralised printing facility at which most print jobs shall be processed. This shall be equipped with at least one print device of appropriate specification

#### 4.4.12 Escalation of support requests

Where necessary, the IT support function shall escalate user support requests to appropriate IT department sections and other university functional units.

#### 4.4.13 Support resources

- a. The College/Campus/Department shall provide office and workshop space; furniture; and basic office amenities to IT support function.

#### 4.4.12 Tools and Equipment

Every campus shall have a stock of support tools consisting of items as determined by the support work within. Also, a stock of shared tools shall be maintained centrally in the IT department.

#### 4.4.13 Dress and Gear

Support personnel shall be supplied with protective and safety clothing and gear suitable for the tasks involved in the support activities. These shall include items such as overalls, dust coats, dust masks, safety gloves, and other items as the management of the IT department may determine from time to time.

#### 4.4.14 Logistical Resources

- a. Towards realising the set support standards such as turn-around time and low downtime, the IT department shall ensure the availability of logistical resources

for transport to ensure rapid movement between support sites and communications to ensure contact between support personnel.

- b. Communication: Support personnel shall be equipped with appropriate communication equipment to maintain effective contact with one another in the course of duty.

#### 4.4.15 Enforcement

- a. The Enforcement of this policy shall be the responsibility of the Deputy Director, IT. This shall be ensured through strict adherence to the IT standards.
- b. Violations will be addressed through established University and national legal mechanisms.
- c. Where required and applicable, the Vice-Chancellor shall provide oversights, insights, and guidance in case of any violation.

## 5. IT Training Policy

### 5.1 Introduction

A variety of products and services are developed or procured by the IT department in response to the business requirements of the University. Upon production, these products and services are distributed (or made available) to users. Thereafter, continuous and tailored training is necessary in order for users to fully exploit them. The policy shall clarify guidelines for such training.

### 5.2 Policy objective

The objective of this policy is to outline the guidelines applicable when planning for, organising and conducting IT training at the University.

### 5.3 Scope

- a. This policy specifies the general approach to the training of all university staff and students; and any other stakeholders accessing University IT services, as the primary users of IT services.
- b. It addresses the training content and methodology for IT users.

## 6. IT Literacy

All university staff should be literate users of IT services, the level of literacy being in line with the demands of their job functions. Training shall, therefore, focus on building skills in users, making them effective in exploiting IT resources, products, and services.

#### 6.1 Mode of training

- a. External IT training shall be organised by the IT department in response to need as may be assessed from time to time when training is not possible within the University.
- b. Internal IT user training targeting the university community shall be scheduled continuously and shall be conducted both on the campuses and at the E-Learning centre in the IT department.

#### 6.2 Trainees

- a. The IT department shall jointly with user departments nominate trainees for external IT training when the need for such training arises.
- b. An Officer in Charge of Campus (OIC) in response to assessed needs shall jointly with the user departments in their campus nominate users and forward the names to the Deputy Director IT. The operating unit shall make the necessary arrangements to facilitate trainees drawn from such units.

#### 6.3 Training resources

The IT department in liaison with the user department shall identify the appropriate trainers for the training as demanded by the needs of the scheduled training.

The IT department jointly with the user departments shall provide necessary resources to facilitate the training

#### 6.4 Training needs and Curriculum development

OICs, Project Leaders, and service developers shall establish IT training needs in liaison with user departments and service consumers. In cases where the IT department is not well placed to train in a given area, the IT department shall identify and recommend appropriate training and work out the requirements of the training.

- a. The IT department shall develop curricula for all training, including the development of source material. To this end, the IT Department shall where possible: i) recommend curriculum for all external training ii) provide training materials on-line via the University website iii) conduct on-line assessment tests and examinations
- b. Where external training is sourced, the IT department shall jointly with the external training agent, customise the content to meet the training needs of the users.



## 6.5 Acknowledgement of training

The IT department shall issue certificates on successful completion of training and examination.

## 7. IT Procurement Policy

### 7.1 Definition of terms

- a. Department: The University is made up of numerous units. These units control their resources and can, therefore, procure goods and services. These include Colleges, Institutes, Schools, Faculties, Academic Departments, Service Departments, Centre, and administrative offices. In this policy, the term department means the procuring entity within the University.
- b. IT goods and services: The IT goods and services to be provided by the qualified and selected bidder under the contract (such as the supply of any major hardware, software, or other components of the required Information Technologies specified, or the performance of any related Services, including software development, transportation, installation, customisation, integration, commissioning, training, technical support, maintenance or repair).
- c. Technical specifications: A document intended for use in procurement, which clearly and accurately describes the essential and technical requirements for items, materials, information systems or services, including procedures by which it will be determined that the requirements have been met.
- d. Emergency: This is a sudden unforeseen crisis usually involving possible negative consequences, requiring immediate action, in this case, undertaking a sudden procurement.
- e. Proposal: This is the activity of establishing and assembling all the specifications and cost elements to initiate an acquisition within an agreed scope.
- f. Project: This is a series of activities geared toward achieving a defined objective within a specified period of time.
- g. Quotation: This will mean a statement of the present going market price for goods or services, including the accompanying terms as provided by the intending supplier.

7.2 The IT department shall provide the following services:

- a. Assist the departments in preparation of technical specifications for the purpose of procuring goods and services related to IT whenever the need arises.
- b. Assist the purchasing department in cases of emergencies to identify reputable companies or registered providers to reduce any delay in procurement.
- c. The procedures shall conform to the University's rules, regulations, and obligations and ensure that projects for various departments are pursued diligently and efficiently. The procedures shall also ensure that the goods and services to be procured meet the following criteria:
  - i. Are of satisfactory quality and are compatible with the balance of the project;
  - ii. Will be delivered or completed in a timely fashion; and,
  - iii. Are priced so as not to adversely affect the economic and financial viability of the project.

### 7.3 Policy scope

The IT shall assist the departments with the preparation of technical specifications whenever the need arises. The principles of efficiency and effectiveness in the procurement of the goods and services involved shall guide the process. Transparency in the procurement process is essential.

### 7.4 Policy statements

The following policy statements shall govern the units or entities of the University in the procurement of IT goods and services in:

- a. Identification of the needs and the justification for the procurement of goods and services.
- b. Development of the technical specification with the help of the IT and ensure the specification are aligned with the latest technology.
- c. Adhere to the procurement policy of the University.
- d. Comply with the financial regulations of the University.
- e. All IT goods and services shall be delivered to the IT wherever it may be from time to time or such other place as may be agreed between the procuring department and IT centre.

- f. All IT goods and services shall be inspected by the IT representative(s) to ensure compliance with the technical specification before being commissioned for use.
- g. IT shall:
  - i. Check the delivery of goods and services against the PO
  - ii. Examine and test the compliance of the goods to technical specifications following the contract awarded to the supplier.
  - iii. Install the software and configure delivered equipment and software.

## **8. IT Operations and Maintenance Policies**

8.1 Policy Statement: The Yenepoya (Deemed to be University) is highly dependent on technology to perform its activities daily. As a result, the University has adopted a formal approach to operating and maintaining its Information Technology ("IT") systems and resources.

8.2 Objective: The objective of this policy is to define the roles, responsibilities, and critical elements for the efficient operations and support of IT systems at the University.

8.3 Scope:

This policy applies to:

- a. All universities offices, campuses and learning centres, including specifically the IT department.
- b. All IT systems or applications managed by the University that store, process or transmit information, including network and computer hardware, software and applications, mobile devices, and telecommunication systems.
- c. "IT Problems" are conditions or situations (known or unknown) that can result in an incident.
- d. "IT Incidents" are unplanned events that cause an interruption to, or a reduction in, the quality of the IT operations or services.
- e. "Security Vulnerabilities" are IT problems that present specific risks to cybersecurity. Vulnerabilities that have a high probability of being exploited and that will highly impact the Universities (risk of operation disruption, data breach, etc.) are often labelled as "Critical" or "High".

## **9. Help desk and User support**

The IT help desk will act as the central point of contact for all IT technical requests.



The users will log the service request with the IT help desk, using the backbone issue tracker.

9.1 The IT help desk will use the following guidelines to prioritise its response to requests:

PRIORITY	CRITERIA	RESPONSE TIME (*)
<b>Emergency</b>	Requests for issues having a significant and immediate impact on the University's or Hospital's operations. For example: <ul style="list-style-type: none"> <li><input type="checkbox"/> An issue is affecting all or a large number of users or patients</li> <li><input type="checkbox"/> An issue is preventing users from accessing critical applications or data, or impacting critical functions (e.g. access to HMIS, network shares, email, or academic courses).</li> <li><input type="checkbox"/> An information security incident or vulnerability with a critical/high severity/risk.</li> <li><input type="checkbox"/> Other as directed (removal of access rights for an unscheduled terminated user, for example).</li> </ul>	Within 10 minutes
<b>High</b>	Requests for issues having an important impact on the University's operations. For example: <ul style="list-style-type: none"> <li><input type="checkbox"/> An application error is affecting a small group of users.</li> <li><input type="checkbox"/> An issue is impacting important functions in a system.</li> <li><input type="checkbox"/> An information security incident or vulnerabilities with a medium/high severity/risk.</li> <li><input type="checkbox"/> Other as directed.</li> </ul>	Within 2 hours

<b>Low</b>	Requests for issues having a limited or non-immediate impact on the University's operations. For example: <ul style="list-style-type: none"> <li><input type="checkbox"/> An issue is affecting one person only.</li> <li><input type="checkbox"/> An issue is impacting a non-critical function in a system (reporting for example).</li> <li><input type="checkbox"/> A security incident or vulnerability with a low/medium severity/risk.</li> <li><input type="checkbox"/> A question on how to use a non-critical functionality.</li> <li><input type="checkbox"/> A "cosmetic" request, to improve a system functionality "look and feel" or a minor non-functional change to a system.</li> </ul>	Before the end of the working day
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*(\*) The response time corresponds to the time to process the request, including analysing and classifying the request, attributing a ticket to the System administrator or IT assistant, and dispatching them. This time does not indicate when the ticket must be resolved.*

The assigned System administrator or IT assistant will respond to all requests submitted to the IT Help Desk within a one- week period where possible. If a request cannot be processed within a one-week timeframe, the System administrator or IT assistant should inform the user who submitted the request.

## 10. E-waste policy:

10.1 E-waste has been defined as-

*"Waste electrical and electronic equipment, whole or in part or rejects from their manufacturing and repair process, which are intended to be discarded."*

Whereas, electrical and electronic equipment has been defined as

*"Equipment which is dependent on electrical currents or electromagnetic fields to fully functional"*.

Like hazardous waste, the problem of e-waste has become an immediate and long-term concern as its unregulated accumulation and recycling can lead to major environmental problems endangering human health. This calls for an urgent need for e-waste management so as to preserve the ecological balance and reduce landfills. Recycling end-of-life products is vital if we are to save resources and minimise waste.

## 10.2 Do's and Don'ts of E-waste:

### Do's:

- a. Always look for information on the catalogue with your product for end-of-life equipment handling.
- b. Ensure that only authorised recyclers/ dismantler handle your electronic (i.e. LED TV's and accessories) products
- c. Always call at your products toll-free no's to dispose of those that have reached the end-of-life.
- d. Always drop your used electronic products, batteries or any accessories when they reach the end of their life at your nearest authorised e-waste collection points.
- e. Always disconnect the battery from product, and ensure any glass surface is protected against breakage.

### Don'ts:

- a. Do not dismantle your electronic products on your own.
- b. Do not throw electronics in bins having "Do not Dispose" sign.
- c. Do not give e-waste to informal and unorganised sectors like Local Scrap Dealer/ Rag Pickers.
- d. Do not dispose of your product in garbage bins along with municipal waste that ultimately reaches landfills.

10.3 The E-waste collected at the University is stocked at the E-waste godown, and is disposed to E-waste handlers – "Cerebra Green" who are licensed for processing e-Waste, recycling, and management activities from Karnataka state pollution control board.

## 11. Policy to prevent and deal with technology misuse/abuse:

In support of the University's mission of teaching, research, and public service, the University provides computing, networking, and information resources to the campus community of students, faculty, and staff.

### 11.1 Rights and Responsibilities

Computers and networks can provide access to resources on and off-campus, as well as the ability to communicate with other users worldwide. Such open access is a privilege and requires that individual users act responsibly. Users must respect the rights of other users, respect the integrity of the systems and related physical resources, and observe all relevant laws, regulations, and contractual obligations.

Students and employees may have rights of access to information about themselves contained in computer files, as specified in federal and state laws. Files may be subject to



search under court order. In addition, system administrators may access user files as required to protect the integrity of computer systems. For example, following organisational guidelines, system administrators may access or examine files or accounts that are suspected of unauthorised use or misuse, or that have been corrupted or damaged.

### 11.2 Existing legal context

All existing laws and university regulations and policies apply, including not only those laws and regulations that are specific to computers and networks but also those that may generally apply to personal conduct.

Misuse of computing, networking, or information resources may result in the restriction of computing privileges. Additionally, misuse can be prosecuted under applicable statutes.

Users may be held accountable for their conduct under any applicable University or campus policies, procedures, or collective bargaining agreements.

Complaints alleging misuse of campus computing and network resources will be directed to those responsible for taking appropriate disciplinary action. Reproduction or distribution of copyrighted works, including, but not limited to, images, text, or software, without permission of the owner is an infringement of copyright law and is subject to civil damages and criminal penalties including fines and imprisonment.

### 11.3 Examples of misuse

- a. Examples of misuse include, but are not limited to, the activities in the following list.
- b. Using a computer account that you are not authorised to use. Obtaining a password for a computer account without the consent of the account owner.
- c. Using the campus network to gain unauthorised access to any computer systems.
- d. Knowingly performing an act that will interfere with the normal operation of computers, terminals, peripherals, or networks.
- e. Knowingly running or installing on any computer system or network, or giving to another user, a program intended to damage or to place excessive load on a computer system or network. This includes but is not limited to programs known as computer viruses, trojan horses, and worms.
- f. Attempting to circumvent data protection schemes or uncover security loopholes.
- g. Violating terms of applicable software licensing agreements or copyright laws.

- h. Deliberately wasting computing resources.
- i. Using electronic mail to harass others.
- j. Masking the identity of an account or machine.
- k. Posting materials on electronic bulletin boards that violate existing laws or the university's codes of conduct.
- l. Attempting to monitor or tamper with another user's electronic communications, or reading, copying, changing, or deleting another user's files or software without the explicit agreement of the owner.
- m. Activities will not be considered misuse when authorised by appropriate university officials for security or performance.



Registrar  
YENEPOYA  
(Deemed to be University)

# IT Policy (2018)

ATTESTED



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University Road, Deralakatte  
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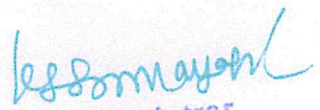





**YENEPOYA**

(DEEMED TO BE UNIVERSITY)  
Recognized under Sec 3(A) of the UGC Act 1956  
Accredited by NAAC with 'A' Grade

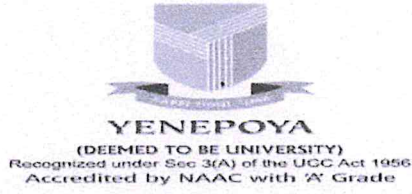
Name of the Policy/ Guidelines	IT Policy
Short Description	Policy and guidelines on IT
Scope	This policy is applicable to Yenepoya (Deemed to be University) and all its constituent colleges and departments
Policy status	Revised
Year of approval of Version 2	2018
Revision	Yes
Effective date	27 <sup>th</sup> Feb 2018
Approval Authority	42 <sup>nd</sup> Board of Management
Responsible officer	Registrar

  
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YENEPOYA  
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ATTESTED

  
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No. Y/REG/PA/BOM-42/Not/2018

Date: 24.2.2018

## **NOTIFICATION**

**Sub: IT policy - reg.**

**Ref: 42<sup>nd</sup> meeting of the BoM held on 17/02/2018 – Agenda 33(d).**

As discussed under Agenda 33(d) of the 42<sup>nd</sup> Board of Management meeting held on 17<sup>th</sup> February 2018, it was resolved to approve the draft of IT Policy. Hence it is notified.

Registrar  
Yenepoya (Deemed to be University)

Encl:  
IT Policy.

ATTESTED

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**YENEPOYA**

**(DEEMED TO BE UNIVERSITY)**

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**INFORMATION TECHNOLOGY DEPARTMENT**

**POLICY GUIDELINES**

Page 1 of 34  
**ATTESTED**

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## Abbreviations and Acronyms

1. ATM Automatic Teller Machine
2. BOQs Bill of Quantities
3. BOU Basic Operation Unit.
4. BYOD Bring Your Device
5. CDs Compact Discs
6. CD-ROMS Read-only memory compact discs
7. CDRW Read/Write CD
8. DBA Database Administrator
9. DAS Direct Attached Storage
10. DVDs Digital Video Discs
11. FTP File Transfer Protocol
12. GFS Grandfather-Father-Son
13. IT Information Technology
14. IT C Information and Communication Technology Centre
15. IEEE Institute of Electrical and Electronics Engineers
16. IS Information System
17. ISO International Organization for Standardisation
18. IP Internet Protocol
19. IP Intellectual Property
20. IPsec Internet Protocol Security
21. LCD Liquid Crystal Display
22. MIS Management Information System
23. LAN Local Area Network
24. NAS Network Attached Storage
25. NFS Network File System
26. OIC Officer in Charge of Campus
27. PDAs Personal Digital Assistant
28. PSTN Packet-Switched Telephone Network
29. POC Point of Contact (30) SSH Secure Shell
30. SANs Storage Area Networks
31. SLA Service Level agreement
32. SQL Structured Query Language
33. Telnet A terminal emulation program for TCP/IP networks such as the internet
34. TCP Transmission Control Protocol
35. UPS Uninterrupted Power Supply
36. UMIS University Management Information System
37. VPN Virtual Private Networks
38. WAN Wide Area Network
39. Wi-Fi Wireless Fidelity
40. WWW World wide web
41. ZIP "Zip" is the generic file format of a compressed archive

## 1. Introduction to the policy

### 1.1.

#### Preamble

Information Technology has been globally recognised as an essential vehicle of "growth and development" in the new millennium. Yenepoya (Deemed to be University) has taken up Information Technology & Communication (IT) as the principal engine of rapid growth. The IT departments committed to deploying IT services as an effective tool for catalysing accelerated and efficient governance in university operation

The University has invested in a strong IT base, which supports teaching, learning, research, and management. The University recognises IT as a prime mover and driver in stimulating creativity and innovation in the current highly technologically driven environment. The strategic role of IT can, therefore, not be gainsaid. The performance and visibility of the University are determined to a great extent by its IT function.

It is against this background that the University has taken the initiative of developing and regularly reviewing a blueprint that will guide in the design, development, implementation, and effective use of the IT services and resources.

### 1.2. Statement of purpose

The purpose of this IT policy is to outline the acceptable use guidelines for IT equipment and services at the University. This policy intends to promote a culture of openness, trust, and integrity. These are general guidelines on what can be done, and what should not be done, on the University IT infrastructure to ensure efficient and effective use of University IT resources; protect IT resources from injurious actions, including virus attacks, data loss, unauthorised access, network, and system failures, and legal problems.

This policy seeks to guide designers, developers, and users of Information and IT resources on appropriate standards to be adopted at the University. Its objectives include to:

- Guide in developing a pervasive, reliable and secure communications infrastructure conforming to recognised International standards supporting all services in line with the priorities of the University;
- Provide a framework for the development and management of IT network services that shall ensure the availability, reliability, enhanced performance, security, and reduce the cost of running the IT infrastructure;
- Establish information requirements and implement security across the University's IT infrastructure;

- Provide a framework, including guidelines, principles, and procedures for the development and implementation of management information systems in the University;
- Guide the handling of organisational information within the IT department and the University as a whole by ensuring compliance with applicable statutes, regulations, and mandates for the management of information resources; and thereby establish prudent practices on the internet and the university intranet use;
- Uphold the integrity and image of the University through defined standards and guidelines for ensuring that the content of the University's websites is accurate, consistent and up-to-date;
- Serve as the direction pointer for the IT's mandate in supporting users, empowering them towards making maximum use of IT services and resources and specifying the necessary approaches;
- To guide the process of enhancing user utilisation of IT resources through training;
- Outline the rules and guidelines that ensure users' PCs, and other hardware are in serviceable order, specifying best practices and approaches for preventing failure;

### 1.3. Scope of the university IT policy.

This policy applies to any person accessing/developing/implementing and/or using IT-based Information and IT resources owned, managed, supported, or operated by, or on behalf of, the University. This includes all university staff and students; any other organisations accessing services over University IT resources; persons contracted to develop, repair, or maintain University's IT resources; and suppliers of outsourced IT services. This policy applies to all IT equipment, software, or other facilities that are owned or leased by the University.

Adherence to this policy applies to all these and other relevant parties.

## 2. Network development and management policy

### 2.1. Introduction

- a) The information and communications infrastructure at the University have evolved into a vast, complex network over which the education, research, and business of the University is conducted. It is envisaged that the network will integrate voice, data, and video, to form a unified information technology resource for the university community. Such a network shall demand adherence to a centralised, coordinated strategy for planning, implementation, operation, and support. Decentralisation shall be implemented through appropriate university structures.
- b) The university network functions shall be broken down into the following areas:
- c) University Infrastructure development
- d) University backbone
- e) Campus Local Area Networks (LANs)
- f) Wireless networks

- g) Virtual Private Networks (VPN)
- h) Connection to, access and usage of IT facilities
- i) New or changed use of IT equipment
- j) Monitoring of network performance.
- k) This, therefore, shall require a policy that will secure the future reliability, maintainability, and viability of this valuable asset.

## 2.2. Objectives

- 2.2.1. The objective of this policy is to establish a comprehensive and uniform Network Development & Management policy for the administration of the University IT infrastructure.
- 2.2.2. This policy defines the arrangements and responsibilities for the development, installation, maintenance, and use and monitoring of the University's networks to ensure that, these networks are adequate, reliable, and resilient to support continued high levels of activity.

## 2.3. Scope

This policy applies to any person accessing or using the IT infrastructure owned, managed, supported, or operated by, or on behalf of the University. These include all university staff and students; any organisation accessing services over university IT networks; persons contracted to repair or maintain the University's IT networks; and suppliers of network services.

## 2.4. General network policy

### 2.4.1. The network

The University will develop and support a university-wide IT network as an underlying infrastructure service for the facilitation of sharing electronic information and resources by all members of the University. This includes all staff and students of the University, and other persons engaged in legitimate university business as may be determined from time to time.

### 2.4.2. Universal availability

- a) The university network will be designed and implemented in such a way as to serve those located at the university campuses and, to a lesser extent, those located elsewhere.
- b) The ultimate goal is that every room in the University in which research, teaching, learning, or administration functions take place should be connected. And every member of the University should have the capability to access the University IT infrastructure.
- c) The network will form part of the general fabric or infrastructure of the University.
- d) There will be one coherent network supporting access to all general information services provided to the university members.

### 2.4.3 Reliability



- a) High levels of availability, reliability, and maintenance will be major objectives in the construction and operation of the University IT network.
- b) The design and construction of the university network will take into account emerging technologies and standards wherever possible.

#### 2.5 IT network provision in new and refurbished buildings

- a) Network provision for new and refurbished buildings shall be made following the specification published from time-to-time by the IT Department.
- b) Where the network requirements are of specialised nature, the Head of the Facility/Department concerned shall seek further guidance from the Deputy Director IT.
- c) All new buildings to be erected in the University shall incorporate an appropriate structured cabling system to allow connection to the university network.

#### 2.6 University backbone

##### 2.6.1 Definition

The university network will consist of several parts: "Backbone" systems, a collection of inter-building connections; "Campus LANs," wireless networks (Hotspots); Virtual Private Networks (VPN), etc.

The university network backbone will comprise an inter-building cabling system, together with one or more "Gateway" interfaces at each building or in the path to each building which will connect the backbone to the network(s) within each building.

##### 2.6.2 Structure of university backbone

- a) The university network backbone shall connect, singly or severally, to buildings, not to individual departments or units.
- b) The planning, installation, maintenance, and support of the university network backbone shall be under the control of the IT department.
- c) Connection to the university network backbone shall be approved by the Deputy Director, IT.
- d) The IT Department shall adhere to and maintain copies of all relevant networking standards, and keep abreast of national and international developments in these standards.
- e) The university network backbone at any particular point of time will be aimed at facilitating the traffic flow between connected buildings or networks.

#### 2.7 Campus LANs

##### 2.7.1 Definition

The respective OICs will take responsibility for the Campus LANs, namely, the necessary wiring and related equipment within existing buildings to allow connection to the LAN gateways.

##### 2.7.2 Structure of campus LANs

- a) Wherever feasible, the network(s) within each building shall be arranged so that there is a point of connection to the university network backbone. In cases

where it is not possible to establish a single connection, multiple building gateways may be installed.

- b) Network protocols used on building networks and communicating through the gateway must use approved configuration parameters, including approved network identifiers.
- c) Building networks connecting to the university network shall meet overall university network security and management requirements.
- d) In cases where there are constraints to connecting any building to the university network, backbone, consultations and subsequent approvals by the Deputy Director, IT shall be made to allow for alternative configurations.

## 2.8 Inter-campus connections

### 2.8.1 Definition

The inter-campus connections shall consist of the necessary services and related equipment that allow a remote campus or remote university office to access the central university backbone.

### 2.8.2 Structure of inter-campus connection

- a) Wherever feasible, the network(s) within each remote site will be arranged so that there will be one point of connection to the university network backbone. In cases where it is not possible to establish a single connection, multiple inter-campus connections may be established.
- b) Network protocols used on Inter-campus connections must use approved configuration parameters, including approved network identifiers.
- c) Inter-campus links connecting to the university network shall meet the university network security and management requirements.

## 2.9 Wireless networks

### 2.9.1 Definition

Wireless LAN also is known as hotspot or Wi-Fi are networks rolled out using radio waves to provide mobile network access as defined under IEEE 802.11 protocol.

### 2.9.2 Structure of wireless networks.

- a) Installation, configuration, maintenance, and operation of wireless networks serving on any property owned or rented by the University, are the sole responsibility of the IT department. Any independently installed wireless communications equipment is prohibited.
- b) Any request for the installation of a wireless device must be approved by Deputy Director, IT.
- c) Wireless access points shall terminate at a point of connection to the university network backbone. In cases where it is not feasible to establish a single connection, multiple wireless gateways may be installed limited to a maximum of three hops.

- d) Wireless networks connecting to the university network shall meet overall university network security and management requirements, including approved network identifiers.

## 2.10 Virtual Private Networks (VPN)

### 2.10.1 Definition

Virtual Private Network (VPN) extends university networks across the internet enabling users to send and receive data across shared or public networks as if they are directly connected to the university network while ensuring security and applicable policies are observed.

### 2.10.2 External access to servers on the backbone network

## 2.11 Access to IT facilities

### 2.11.1 Server Rooms, network racks, and IT network equipment

- a) All server rooms and network racks shall be locked at all times.
- b) Entry to server rooms and network racks, and interference with IT network equipment is strictly prohibited.
- c) Other than in an emergency, access to server rooms and network racks and IT network equipment shall be restricted to designated members of staff of the IT department. Any necessary access must have the prior written consent of the Deputy Director, IT.

### 2.11.2 Access in an emergency

- a) In the event of a fire or other emergency, security staff and/or staff of the maintenance department and/or the emergency services may enter these areas, without permission, to deal with the incident.
- b) Where IT network equipment is housed in rooms used for other purposes, the arrangements for access by the other user of the room shall require the prior written consent of the Deputy Director, IT. This consent shall specifically exclude access by the other user to any communications cabinets or IT network equipment located in the shared room.

### 2.11.3 Installation of cabling

All installations and changes of electrical power cabling in facilities housing IT equipment shall be approved and managed by the maintenance department in consultation with the Deputy Director, IT in writing.

### 2.11.4 Installation of equipment

The specification of any equipment to be installed in communications rooms and cabinets and the installation of such equipment shall require the prior written consent of the Deputy Director, IT.

### 2.11.5 Network equipment

- a) Only designated members of the staff of IT are authorised to install and maintain active network equipment, including hubs, switches, and routers connected to the University's IT networks.

- b) Where the Deputy Director of IT agrees that academic staff or the IT department's technical staff may install and maintain hubs and switches within local staff or student networks, such permission will in every case specifically exclude the point at which these hubs and switches connect to the University's network infrastructure.

## 2.12 Connection to and usage of IT facilities

### 2.12.1 Connecting to the IT network

- a) All connections to the University's IT networks must conform to the protocols defined by the IT Department and with the requirements that apply to Internet Protocol (IP) addresses.
- b) Only designated members of staff of the IT department, or other staff explicitly authorised by the Deputy Director of IT, may make connections of desktop services equipment to the IT network.
- c) Computer workstations connected to the IT network will not be set up to offer services to other users, for example, to act as servers, unless the prior written consent of the Deputy Director IT has been obtained. Such consent will normally exclude all external access

### 2.12.2 External access to servers on the backbone network

- a) External access means access by a person's external to the University; access to the backbone network from external locations.
- b) Where specific external access is required to servers on the backbone network, the Deputy Director IT shall ensure that this access is strictly controlled and limited to specific external locations or persons.
- c) The Deputy Director IT will monitor compliance with access arrangements as stipulated in this IT Policy and the relevant IT security policy on server security issued by the University from time to time.

### 2.12.3 Domain Name Services

All Domain Name Services (DNS) activities hosted within the University shall be managed and monitored centrally, for the whole University, by the IT department.

### 2.12.4 Suspension and/or termination of access to IT networks

- a) A user's access to the University's IT networks will be revoked automatically:
  - 2.12.4.a.1 At the end of studies, employment or research contract;
  - 2.12.4.a.2 At the request of the Director/Dean of Faculty/Head of Resource Centre/Head of Department or Head of Unit;
  - 2.12.4.a.3 Where there is a breach of these regulations
    - 2.12.4.a.3.1 The University reserves the right to revoke a user's access to the University's IT network where the user is suspended under a disciplinary investigation.
    - 2.12.4.a.3.2 The Registrar / Deans will establish mechanisms to ensure that changes in student/employment status are communicated immediately to the Deputy Director of IT so that their network access and email accounts can be suspended or deleted as appropriate immediately.



- 2.12.4.a.3.3 Abuses of or failure to comply with these arrangements shall result in immediate restriction or disconnection from the network.
- 2.12.4.a.4 Procedures on the restriction of use
  - 2.12.4.a.4.1 Appropriate procedures shall apply in restricting usage after a formal complaint has been lodged or a breach of policy or rule has been reported or detected.
  - 2.12.4.a.4.2 Any breach of IT policy shall be reported or communicated in writing to the Deputy Director, IT
  - 2.12.4.a.4.3 Upon receipt of any such complaint, the Deputy Director, IT shall classify the complaint as "serious" or "non-serious." A "non-serious" complaint shall be defined as a breach of policy which does not subject the University to a cost nor any high risk.
  - 2.12.4.a.4.4 When a complaint is classified as "non-serious," the Deputy Director, IT is authorised to impose any one of the following penalties:
    - 2.12.4.a.4.5 Suspension of the account for a minimum period of four weeks.
    - 2.12.4.a.4.6 Permanent disabling of the account.
      - 2.12.4.a.4.6.1 When a complaint is classified as "serious," the Deputy Director, IT shall refer the complaint to the Vice-Chancellor/Registrar/Deans for appropriate action. The possible penalties may be any one or a combination of the following:
        - 2.12.4.a.4.6.1.1 Suspension of the account which will be communicated to the relevant Director/Dean and/or Head of Department or Section;
        - 2.12.4.a.4.6.1.2 Suspension of the account shall be for a minimum period of four weeks. Formal approval of the relevant Director/Dean and/or the Head of department or Head of section and a signed undertaking to abide by the Rules of Use shall be required before reinstatement of the account.
        - 2.12.4.a.4.6.1.3 Permanent disabling of the account shall be taken, where the severity of the offence warrants such action.
        - 2.12.4.a.4.6.1.4 Accounts may be reinstated before the end of the suspension period where either the student or staff presents information to the Deputy Director, IT, which indicates that he or she was not involved in the transgression of the rules of use, or the Director/Dean and/or the Head of department or Head of section requests the account be reinstated for employment/course-related work only (e.g. completion of an assignment). In this case, the user is required to sign an undertaking to abide by the Rules of use.

2.12.4.a.4.6.1.5 A system administrator can make a recommendation to disable an account to the Deputy Director, IT. The Deputy Director, IT, shall review the request. If it is considered to be, on the balance of probability, a transgression of the IT Policy, the account shall be suspended.

2.12.4.a.4.6.1.6 Users should note that suspension of access to IT facilities also includes access to the terminal server password access, and as such dial-up modem access will be disabled where a user account is suspended.

#### 2.12.5 Additional or changed equipment

- a) The Deputy Director IT shall be advised in advance and at the earliest opportunity, of any plan to add items of desktop services equipment to or to replace or to relocate desktop equipment that is connected or that may require connection to the University's IT network.
- b) The Deputy Director IT shall assess the likely impact on the University's IT networks of the proposed change. The Deputy Director IT shall approve the proposed change only where appropriate adjustments can be made to accommodate any effects on network traffic that this change may cause.

#### 2.12.6 External data communications

- a) All external data communications shall be channelled through university-approved links.
- b) No external network connections shall be made without the prior written consent of the Deputy Director, IT.
- c) The installation and use of leased or private links on premises owned, managed, or occupied by the University shall require the prior written consent of the Registrar/Dean.
- d) The use of modems, leased or other means of access to other networks on equipment located on premises owned, managed or occupied by the University that are linked to the University IT network infrastructure, is prohibited, unless a proposal and justification for such connection have been authorised in writing by the Deputy Director, IT.

#### 2.12.7 Web filtering

The Deputy Director, IT shall be responsible for the implementation of appropriate filtering facilities for web-based and non-web Internet traffic, including MP3 traffic and other high bandwidth-intensive services that may not have direct educational or research value, where and when necessary in conformity with the IT policy and relevant IT guidelines that promote efficient and high availability of internet services to the majority of users.

#### 2.13 New or changed use of IT equipment

- 2.13.1 The Deputy Director, IT shall be informed in advance of any plan that involves a new use, a change of use or addition to the University's IT networks that might impact on the performance or security of the network.
- 2.13.2 The Deputy Director, IT, shall assess the likely impact of the proposed use and will advise on the consequential impact upon the performance of the University's IT network. Such changes shall be effected after approval by the Deputy Director, IT.

### **3 IT security and internet policy**

#### **3.1 Definitions of terms**

- 3.1.1 Spam - Unauthorised and/or unsolicited electronic mass mailings
- 3.1.2 "Chain letters," "Ponzi," "pyramid" schemes- Messages that purport to tell the addressee how, for a relatively small investment, the addressee can make huge amounts of money. There are several variations, but they are all based on a common fraudulent concept — that the addressee pays a relatively small amount of money to a few people above the addressee in a chain, with the expectation that later a very large number of people will be making similar payments to the addressee.
- 3.1.3 Port scanning- Attempting to learn about the weaknesses of a computer or a network device by repeatedly probing it with a series of requests for information.
- 3.1.4 Network sniffing -Attaching a device or a program to a network to monitor and record data travelling between computers on the network.
- 3.1.5 Spoofing -The deliberate inducement of a user or a computer device to take an incorrect action by Impersonating, mimicking, or masquerading as a legitimate source.
- 3.1.6 Denial of service -Procedures or actions that can prevent a system from servicing normal and legitimate requests as expected.
- 3.1.7 Ping attack - A form of a denial of service attack, where a system on a network gets "pinged," that is, receives an echo-request, by another system at a fast repeating rate thus tying up the computer so no one else can contact it.

#### **3.2 General use and ownership policy**

##### **3.2.1 Roles**

- a) While the IT department is committed to the provision of a reasonable level of privacy, the IT department shall not guarantee the confidentiality of personal information stored or transmitted on any network or device belonging to the University. The data created and transmitted by users on the IT systems shall always be treated as the property of the University.
- b) The IT department shall protect the University's network and the mission-critical university data and systems. The IT department shall not guarantee the protection of personal data residing on University IT infrastructure.
- c) Users shall exercise good judgment regarding the reasonableness of personal use of IT services. They shall be guided by IT policies concerning personal use of IT internet, intranet or extranet systems. In the absence of or uncertainty in such policies or uncertainty, they shall consult the relevant IT staff.

- d) For security and network maintenance purposes, authorised staff within the IT department shall monitor equipment, systems, and network traffic at any time as provided for in the network and development policy.
  - e) The IT department shall reserve the right to audit networks and systems periodically to ensure compliance with this IT Policy.
- 3.2.2 Securing confidential and proprietary information
- a) University data contained in IT systems shall be classified as either confidential or no confidential. Examples of Confidential Information include but are not limited to payroll data, human resource data, and research data. Employees shall take all necessary steps to prevent unauthorised access to confidential information
  - b) Users shall keep passwords secure and shall not share accounts. Authorised users are responsible for the security of their passwords and accounts. System-level passwords shall be changed every month; user-level passwords shall be changed at least once every six (6) months.
  - c) All PCs, laptops, and workstations shall be secured with a password-protected screensaver with the automatic activation feature set at 10 minutes or less, or by logging-off when the host is unattended.
  - d) Postings by users from the university email address to newsgroups shall contain a disclaimer stating that the opinions expressed are strictly the user's and not necessarily those of the University unless posting is in the course and within the scope of official duties.
  - e) All hosts connected to the university internet, intranet, or extranet, whether owned by the user or the University shall at all times be required to execute approved virus-scanning software with a current virus database.
  - f) The user shall exercise caution when opening email attachments received from unknown senders, which may contain viruses, email bombs, or Trojan horse code.

### 3.3 Conditions of use of computing and network facilities

3.3.1 Unacceptable system and network activities The following activities shall be strictly prohibited, with no exceptions:

- a) Violations of the rights of any person or company protected by India's copyright, trademark, patent, or other intellectual property (IP) law and the University's Intellectual Property Policy, other relevant policies, or the University's code of conduct.
- b) Introduction of malicious programs into the network or server, for instance, viruses, worms, Trojan horses, or email bombs.
- c) Sharing of the university user accounts and passwords– users shall take full responsibility for any abuse of shared accounts
- d) Using the university computing resources to actively engage in procuring or transmitting material that could amount to sexual harassment or constitute the creation of a hostile work environment.
- e) Making fraudulent offers of products, items, or services originating from any the university account.



- f) Causing a security breach or disruptions of network communication. Security breaches include, but are not limited to, accessing data of which one is not an intended recipient or logging onto a server that one is not expressly authorised to access unless this is within the scope of regular duties. For purposes of this section, "disruption" includes, but is not limited to, network sniffing, pinged attacks, packet spoofing, denial of service, and forged routing information for malicious purposes.
  - g) Port scanning or security scanning unless prior notification to IT Department is made.
  - h) Executing any form of network monitoring which will intercept data not intended for the originator's host computer, unless this activity is a part of an employee's normal job or duty.
  - i) Circumventing user authentication or security of any host, network, or account.
  - j) Interfering with or denying service to other network users, also known as a denial of service attack.
  - k) Using any program, script, or command, or sending messages of any kind, with the intent to interfere with, or disable, another user's terminal session, via any means, locally or via the internet, intranet or extranet.
  - l) Using the university network or infrastructure services, including remote connection facilities, to offer services to others within or outside the university premises on free or commercial terms.
- 3.3.2 Wireless network users responsibilities
- a) Any person attaching a wireless device to the university network shall be responsible for the security of the computing device and any intentional or unintentional activities arising through the network pathway allocated to the device
  - b) The University accepts no responsibility for any loss or damage to the user computing device as a result of connection to the wireless network
  - c) Users shall ensure that they run up to date antivirus, host firewall, and anti-malware software and that their devices are installed with the latest operating system patches and hotfixes
  - d) Users shall authenticate on the wireless network for every session
  - e) Wireless network users shall ensure that their computer systems are properly configured and operated so that they do not cause inconveniences to other university network users.
  - f) The wireless network is provided to support teaching, research, or related academic activities at the University. Use of the university wireless network services for other purposes is prohibited
  - g) Wireless network users shall get their network addresses automatically; a valid network address shall be granted when connected. The use of other network addresses is prohibited.
- 3.3.3 Appropriate use of electronic mail and communications facilities provided by the University are intended for teaching, learning, research, outreach, and administrative purposes. Electronic mail may be used for personal communications within appropriate limits.

- a) Appropriate use and responsibility of users
    - 3.3.3.a.1 Users shall explicitly recognise their responsibility for the content, dissemination, and management of the messages they send. This responsibility means ensuring that messages:
      - 3.3.3.a.2 Our courteous and polite;
      - 3.3.3.a.3 Are consistent with university policies;
      - 3.3.3.a.4 Protect others' right to privacy and confidentiality;
      - 3.3.3.a.5 Do not contain obscene, offensive or defamatory material;
      - 3.3.3.a.6 Are not used for purposes that conflict with the University's interests;
      - 3.3.3.a.7 Do not unnecessarily or frivolously overload the email system (e.g. spam and junk mail);
      - 3.3.3.a.8 Do not carry harmful content, such as viruses
      - 3.3.3.a.9 Are not for commercial purposes
  - b) Confidentiality and Security
    - 3.3.3.b.1 Electronic mail is inherently NOT SECURE.
    - 3.3.3.b.2 As the university networks and computers are the property of the University, the University retains the right to allow authorised IT, department staff, to monitor and examine the information stored within.
    - 3.3.3.b.3 It is recommended that personal confidential material is not stored on or sent through the University IT infrastructure.
    - 3.3.3.b.4 Users must ensure the integrity of their password and abide by university guidelines on passwords.
    - 3.3.3.b.5 Sensitive, confidential material shall not be sent through electronic mail unless it is encrypted.
    - 3.3.3.b.6 Confidential information shall be redirected only where there is a need and with the permission of the originator, where possible.
    - 3.3.3.b.7 Users shall be aware that a message is not deleted from the system until all recipients of the message and any forwarded or attached copies have deleted their copies. Electronic mail messages can be forged in the same way as faxes and memoranda. If a message is suspect, users shall verify authenticity with the IT Department.
  - c) User indemnity
    - 3.3.3.c.1 Users agree to indemnify the University for any loss or damage arising from the use of the University's email.
  - d) Limited warranty
    - 3.3.3.d.1 The University takes no responsibility and provides no warranty against the non-delivery or loss of any files, messages, or data nor does it accept any liability for consequential loss in the event of improper use or any other circumstances.
- 3.4 Bring Your Device (BYOD)
- 3.4.1 Employees who prefer to use their personally-owned IT equipment for work purposes must secure corporate data to the same extent as on corporate IT

equipment, and must not introduce unacceptable risks (such as malware) onto the corporate networks by failing to secure their equipment.

3.4.2 BYOD users must use appropriate forms of user authentication approved by Information Security, such as user IDs, passwords and authentication devices.

3.4.3 The following classes or types of corporate data are not suitable for BYOD and are not permitted on PODs:

- a) Anything classified SECRET or CONFIDENTIAL;
- b) Other currently unclassified but highly valuable or sensitive corporate information which is likely to be classified as SECRET or above;
- c) Large quantities of corporate data (i.e. greater than 1 GB in aggregate on anyone POD or storage device).
- d) The University has the right to control its information. This includes the right to backup, retrieve, modify, determine access, and/or delete corporate data without reference to the owner or user of the device.
- e) The University has the right to seize and forensically examine any device within the university premises believed to contain, or to have contained, corporate data where necessary for investigatory or control purposes.
- f) Suitable antivirus software must be properly installed and running on all devices.
- g) Device users must ensure that valuable corporate data created or modified on the devices are backed up regularly, preferably by connecting to the corporate network and synchronising the data between the device and a network drive or on removable media stored securely.
- h) Any device used to access, store or process sensitive information must encrypt data transferred over the network (e.g. using SSL or a VPN)
- i) Since IT User support does not have the resources or expertise to support all possible devices and software, devices used for BYOD will receive limited support on a 'best endeavours' basis for academic purposes only.
- j) While employees have a reasonable expectation of privacy over their personal information on their equipment, the University's right to control its data and manage devices may occasionally result in support personnel unintentionally gaining access to their personal information. To reduce the possibility of such disclosure, device users are advised to keep their data separate from university data on the device in separate directories, clearly named (e.g. "Private" and "BYOD").
- k) Take care not to infringe other people's privacy rights, for example, do not use devices to make audio-visual recordings at work.

### 3.5 Password policy

#### 3.5.1 Rules

- a) All system-level passwords such as root, enable, windows server administration, application administration accounts, shall be changed at least once every month.
- b) All user-level passwords such as email, web, and desktop computer shall be changed at least once every six (6) months.

- c) User accounts that have system-level privileges granted through group memberships or programs such as "sudo" shall have passwords distinct from all other accounts held by such users.
- d) Passwords shall not be inserted into email messages or other forms of electronic communication.
- e) Passwords for the university accounts shall not be used for other non-university access such as personal ISP account, Yahoo Mail, and Bank ATM.
- f) All passwords shall be treated as sensitive, confidential university information. Users shall not share the university passwords with anyone, including administrative assistants or secretaries.
- g) Users shall not use the "Remember Password" feature of applications like Eudora, Outlook, and Netscape Messenger.
- h) Users shall not write passwords down and store them anywhere in their offices.

3.5.2 General password construction guidelines computer passwords are used for various purposes at the University. Since very few systems have support for one-time tokens, that is, dynamic passwords that are only used once, all users shall familiarise themselves with the following information on how to select strong passwords. Poor, weak passwords have the following characteristics:

- a) The password contains less than eight characters
- b) The password is a word found in English, Hindi or other dictionaries
- c) The password is a common usage word such as:
  - 3.5.2.c.1 Names of family, pets, friends, co-workers, or fantasy characters.
  - 3.5.2.c.2 Computer terms and names, commands, site, company, hardware, software.
  - 3.5.2.c.3 The words "university", "New Delhi", "Mangalore" or any such derivation.
  - 3.5.2.c.4 Birthdays and other personal information such as addresses and phone numbers.
  - 3.5.2.c.5 Word or number patterns like aaabbb, qwerty, zyxwvuts, or 123321.
  - 3.5.2.c.6 Any of the above spelled backward.
  - 3.5.2.c.7 Any of the above preceded or followed by a digit such as ecret1, 1secret. Strong passwords have the following characteristics:
    - 3.5.2.c.8 Contain both upper and lower case characters like a-z, A-Z.
    - 3.5.2.c.9 Have digits and punctuation characters as well as letters such as 0-9, !@#\$%^&\*()\_+|~=\`{}[]:"';<>?, or /.
    - 3.5.2.c.10 Are at least eight alphanumeric characters long.
    - 3.5.2.c.11 Are not words in any language, slang, dialect, or jargon, among others.
    - 3.5.2.c.12 Are not based on personal information, or names of family, among others.
    - 3.5.2.c.13 Where an account or password is suspected to be compromised, the affected passwords shall be changed immediately. The IT department shall be alerted immediately to investigate the incident if it affects critical university information systems or processes.



### 3.6 Server security policy

3.6.1 Ownership and Responsibilities: Any server deployed on the university IT network shall have an operational group that shall be responsible for its system administration. Operational groups shall monitor configuration compliance and shall implement an exception policy tailored to their environment. Each operational group shall establish a process for changing the configuration guides; if the server is executing critical university systems, this shall involve a final review and approval by the Deputy Director, IT.

- a) All servers shall be registered with the IT Department. At a minimum, the following information shall be forwarded:
  - 3.6.1.a.1 Contacts of the system administrator
  - 3.6.1.a.2 The physical location of the server
  - 3.6.1.a.3 Hardware and operating system version in use
  - 3.6.1.a.4 Description of functions and applications of the server
  - 3.6.1.a.5 Configuration changes for servers shall follow the appropriate change management procedures.

### 3.6.2 General configuration guidelines

- a) Server operating systems shall be configured in line with approved IT guidelines.
- b) Services and applications that are not used shall be disabled at all times, for instance, NFS, Telnet, and FTP.
- c) Access to services shall be logged and protected through access-control methods such as TCP Wrappers where possible.
- d) The most recent security patches shall be installed on the systems as soon as practical, the only exception being when an immediate application would interfere with business requirements.
- e) Antivirus software shall be installed and configured to update regularly.
- f) Trust relationships, such as through NFS, between systems, are a security risk, and these use shall be avoided. No trust relationship shall be used where alternative secure methods of communication are available.
- g) User access privileges on a server shall be allocated on "least possible required privilege" terms, just sufficient privilege for one to access or perform the desired function.
- h) Super-user accounts such as "root" shall not be used when a non-privileged account can do.
- i) If a methodology for secure channel connection is available, that is technically feasible; privileged access shall be performed over secure channels, for instance, encrypted network connections using SSH or IPsec.
- j) Servers shall be physically located in an access-controlled environment.
- k) It shall be prohibited to operate servers from uncontrolled or easily accessible areas.

### 3.6.3 Monitoring

- a) All security-related events on critical or sensitive systems shall be logged, and audit trails backed up in all scheduled system backups.

- b) Security-related events shall be reported to the system administrator in charge of servers, who shall review logs and report incidents to the IT department and the Deputy Director, IT. Corrective measures shall be prescribed as needed. Security-related events include, but are not limited to:

- 3.6.3.b.1 Port-scan attacks
- 3.6.3.b.2 Evidence of unauthorised access to privileged accounts
- 3.6.3.b.3 Anomalous occurrences that are not related to specific applications on the host.

### 3.7 Anti-Virus Policy

- 3.7.1 All computers connected to the University IT network shall run the university standard supported antivirus software, and shall be configured to perform daily full-system and on-access scans.
- 3.7.2 Antivirus software and the virus pattern files shall be kept up-to-date always through scheduled daily automatic updates.
- 3.7.3 Computer laboratory administrators and owners of computers, in consultation with the relevant IT department personnel, shall be responsible for executing required procedures that ensure virus protection on their computers. Computers shall first be verified as virus-free before being allowed to connect to the university network.
- 3.7.4 Once discovered, any virus-infected computer shall be removed from the university network until it is verified as virus-free.
- 3.7.5 The following precautions shall be observed by all users to reduce virus problems. Users shall:
  - a) Never open any files or macros attached to emails from an unknown, suspicious or untrustworthy source. All such emails shall be deleted immediately and emptied from trash folders.
  - b) Delete spam, chain, and other junk emails without forwarding, in compliance with the general use and ownership policy.
  - c) Never download files from unknown or suspicious sources.
  - d) Avoid direct disk sharing with reading/write access unless this is necessary.
  - e) Always scan removable media, including diskettes and memory sticks, from unknown sources for viruses before using.
  - f) Backup critical data and system configurations regularly and store the data in a safe place.
  - g) Not run any applications that could transfer a virus such as an email or file-sharing in a computer where the antivirus software is disabled. Such a computer shall be disconnected from the network.
  - h) Periodically check for antivirus updates and virus alerts because new viruses are discovered almost every day.

### 3.8 Server Rooms

- 3.8.1 Servers shall be housed in a room built and secured for the purpose.
- 3.8.2 The server rooms shall contain an adequate air conditioning system to provide a stable operating environment and to reduce the risk of system crashes due to component failure.

- 3.8.3 No water, rainwater or drainage pipes shall run within or above computer server rooms to reduce the risk of flooding.
- 3.8.4 Where possible the floor within the computer suite shall be a raised false floor to allow computer cables to run beneath the floor and reduce the risk of damage to computer equipment in the case of flooding.
- 3.8.5 Power feeds to the servers shall be connected through the uninterrupted power supply (UPS) and surge protector equipment to allow the smooth shutdown and protection of computer systems in case of power failure.
- 3.8.6 Where possible generator power shall be provided to the computer site to help protect the computer systems in the case of a mains power failure.
- 3.8.7 Access to the server rooms shall be restricted to the authorised IT staff only.
- 3.8.8 All non-IT Departmental staff working within the server room shall be supervised at all times, and the IT management shall be notified of their presence and provided with details of all work to be carried out, at least 24 hours in advance of its commencement.

### 3.9 Systems Backup Policy

#### 3.9.1 Responsibility

All IT Department sections that operate key university systems shall formulate and implement systematic schedules for performing regular backups on the systems in their custody. The following cadre of staff shall carry full responsibility concerning data backup implementation: The System Administrators and IT Assistants The responsible staff shall arrange to perform backups as scheduled at all times.

The Deputy Director IT shall be the principal backup custodian. Back-ups of critical systems shall be documented with the IT security office and handed over for safekeeping. All responsible shall take necessary measures to ensure the integrity, confidentiality, and reliability of the back-ups.

#### 3.9.2 Backup window

Backups for online systems shall be carefully scheduled to diminish any perceived degradation on system performance. Hence, backup windows shall be scheduled at specific times of the day where the most minimal interruption on system services is likely. As a rule of thumb, all major backups shall be scheduled to run at night or during weekends; times when demand for system services is expected to be generally low.

#### 3.9.3 Backup inventory file

The IT department shall maintain a backup inventory file, which shall document all backups carried out on critical university systems. This shall provide mechanisms for quick monitoring and tracking of the implementation of scheduled back-ups.

All relevant backups, whether stored in removable backup media and/or on fixed media (hard-disks), shall be recorded in a backup inventory file.

The backup inventory file shall be kept in a safe storage area, under the custody of the IT Department.

3.9.4 Documenting Data Back-Ups : The following information shall be documented for all generated data backups:

- a) Date and time the data backup was carried out (dd/mm/yyyy: hh: mm).
  - b) The name of the system or short description of the nature of the data
  - c) Extent and type of data backup (files/directories, incremental/full).
  - d) Backup hardware and software used (computer name, operating system, and version number).
  - e) Sequence number if any (where multiple removable backup media are used).
  - f) The physical location of the server and the logical path on file-system to the backup area, when fixed media (hard-disks) are used.
  - g) Data restoration procedures. This may be a separate booklet or set of guidelines
- The above information shall be filed in the backup inventory file. Removable media, besides, must carry proper labels documenting items (a) to (e).

3.9.5 Verification

There shall be a regular audit of all backup media. It is recommended that this exercise be carried out at least once every three months. A complete set of backup media shall be restored, on a temporary location, and then inspected for accurate data reconstruction.

A report on the outcome of the audit shall be generated and recorded in the backup inventory file.

3.9.6 Storage

- a) Removable backup media shall be stored in a locked fireproof safe within an access-controlled room.
- b) A complete copy of the current removable backup set shall be moved to secure offsite storage once every month.

3.9.7 Data Restoration Procedures

All step-by-step procedures needed to achieve complete data reconstruction and resumption of system operations from backups shall be documented. A hard copy of this document shall be filed in the backup inventory file.

3.9.8 Backup Retention Period and Media Rotation Schedule

The retention period for backup media shall be set in such a manner as to minimise the risk of catastrophic loss of data at reasonable media cost.

The following guide, commonly known as the Grandfather-Father-Son (GFS) method, shall be adopted:

- a) Daily backups, known as the Son, shall be carried out on all, or selected days of the week;



- b) The last full daily backup in a week, known as the Father, shall be the weekly backup;
- c) Daily backups age only for the length of the week, hence the media shall be reused in the coming week;
- d) The weekly backups shall be retained for a month and shall be reused during the next month;
- e) The last full backup of the month is known as the monthly backup or the grandfather;
- f) The grandfather backups become the oldest and shall be retained for a year before the media can be reused.

Backup media must first be tested to guarantee their integrity before re-use. Media re-use must always begin with the oldest set.

### 3.9.9 Data Archiving

- a) IT Department is obliged to maintain archives of data of critical university systems for a time frame that is beyond the normal backup retention period, in case of the future need to refer to the data by the University or authorised Government agencies.
- b) For this purpose, in addition to normal backups, responsible staff shall arrange for a special backup scheduled at the close of each financial year for all sensitive data on respective systems.

### 3.9.10 Backup Media

- a) The following backup media are recommended: Fixed computer hard drives. These can be located over the network on a separate computer or, most preferably, on equipment using specialised storage technology such as Direct Attached Storage (DAS), Network Attached Storage (NAS), and Storage Area Networks (SANs). The use of these media is recommended where fast, very frequent, and high capacity backups are required.

3.9.11 Backup Plans: Back-up plans, with the schedule of the general regular backup pattern for the key university systems, shall be documented. The ratified plan shall be authorised by the Deputy Director, IT, and filed in the backup inventory file. Persons responsible for back-ups shall carryout all back-ups as scheduled on the backup plan, but may also stipulate additional event-dependent intervals where necessary.

### 3.10 Internet usage policy

- 3.10.1 All software used to access the internet shall be part of the university standard software suite or approved under the ISO standard.
- 3.10.2 All users shall ensure that internet access software shall incorporate the latest security updates provided by the vendors.
- 3.10.3 All files downloaded from the internet shall be scanned for viruses using the University's corporate antivirus software suite with the latest virus detection updates.

- 3.10.4 All internet access software shall be configured to use stipulated gateways, firewalls, or proxy servers. Bypassing any of these servers shall be strictly prohibited.
- 3.10.5 Accessed internet sites shall comply with the University's general use and ownership policy.
- 3.10.6 Internet access traffic through the university IT infrastructure shall be subject to logging and review.
- 3.10.7 The university Internet access infrastructure shall not be used for personal solicitations or personal, commercial ventures.
- 3.10.8 All sensitive university materials transmitted over the internet shall be encrypted.
- 3.10.9 Official electronic files shall be subject to the same rules regarding the retention of records that apply to other documents and information or records shall be retained following university records retention schedules.

#### **4 User Support Services Policy**

##### **4.1 Definition of Terms**

- 4.1.1 IT projects: Any IT work or undertaking, and has a clear beginning and end, and is intended to create or deploy IT technology, product, knowledge, or service.
  - 4.1.2 Basic Operation Unit (BOU): A laboratory with or more computers used by academic, non-teaching staff or students for general use, research, in a classroom setting, and operated by an autonomous Department, School, Faculty, Institute, Centre or other Unit of the University.
  - 4.1.3 Hardware: All university-owned computer and peripheral equipment (such as printers, scanners, CD-ROMS (Read-only memory compact discs, network cards, and multimedia equipment.
  - 4.1.4 Tools and equipment: The stock of shared tools maintained both centrally at the IT department and within individual campuses for use by the support personnel.
  - 4.1.5 IT user support services: IT services directed at IT users to enable them effectively exploit IT technologies, products, and services available at the University. These shall mean all activities, carried out by the support personnel involving setup, creation, procurement and acquisition, installation and deployment, repair and training on IT products and services, to assist users in maximising expected utility and benefit
  - 4.1.6 Support coverage: Support site and deployment of support personnel following the assessed support load per site.
  - 4.1.7 Hardware support: Attending to problems associated with hardware categories as listed under the support policy.
  - 4.1.8 Software support: Attending to problems associated with software categories as listed under the support policy.
  - 4.1.9 MIS support: support for corporate Information Systems used by the University.
- 4.2 Introduction the IT department acquires, develops and develops a variety of IT technologies, products, and services in response to the academic business and related requirements of the University. Upon production, these requirements are distributed (or made available) to users. Thereafter, continuous and tailored support is necessary for users to fully exploit them. A policy guideline is necessary for this support.

#### 4.3 Policy Objectives

- 4.3.1 A guideline for the IT user support service for enabling bona fide University IT users to productively exploit provided university IT resources.
- 4.3.2 Specific Services include general user support service; PC and User Peripheral Service; Hardware Maintenance Service; Software Support Service, Network Support Service; IT Staff Professional Training Service; IT User Training Service; Operationalisation of IT Projects.

#### 4.4 Policy Scope: This guideline shall steer the activities of producers and consumers of IT technology, products, and services across the University.

##### 4.4.1 University IT projects and services

The Deputy Director, IT shall ensure that IT Support services are available to assist university IT users with technical and logistical support in the implementation (or roll-out) and operationalisation of IT technology, projects, products; and services.

##### 4.4.2 Advocacy: The IT department through user support services shall provide users with consultancy services on IT related matters; it shall provide technical representation in all IT related meetings and committees in colleges and campuses; it shall communicate relevant user support information to users, and provide them with liaison interface (or escalation point) to the IT department.

##### 4.4.3 Support coverage

- a) Support sites shall be designated by campus and to some extent by function. These shall be as detailed in the schedule of support coverage in the standards document
- b) The IT Support function shall provide qualified support personnel at each university campus. IT support personnel shall be deployed following the assessed support load per support site (or campus). The load shall be proportional to the extent to which IT s are in use, determined mainly by the expansion of the university network and the number of users there off.

##### 4.4.4 Procurement support

The IT user support function shall assist users in deriving the technical requirements and specifications of all IT acquisitions and purchases. Other acquisitions and purchases must meet the minimum specifications as outlined in the IT procurement policy for all hardware, software, services, and consumables to guarantee support by IT under the categories outlined above. The IT user support function shall verify all IT acquisitions and purchases.

##### 4.4.5 Infrastructure support

The IT user support function shall assist users in carrying out surveys, design, requirements specifications, and preparation of BOQs, material acquisition, and supervision of the implementation of all IT infrastructures at the University.

##### 4.4.6 Hardware support

- a) The user shall be responsible for daily care and basic routine maintenance of IT hardware under their care as defined in the section on IT equipment maintenance policy.
- b) On a second level, the IT support function shall support the hardware categories that are commonly required by users in their offices, computer rooms,

laboratories, and lecture theatres to perform their job responsibilities. These shall include servers, desktop computers, laptop computers, printers, scanners, digital cameras, liquid crystal display (LCD) projectors, network access hardware, among others.

#### 4.4.7 Software and MIS support

- a) IT user support shall support software categories that are commonly required by users for use in their offices, computer rooms, laboratories, and lecture theatres to perform their job responsibilities.

#### 4.4.8 IT Services support

- a) The IT department shall support IT services that are commonly required by users in their offices, computer rooms, laboratories, and lecture theatres to adequately perform their job responsibilities.
- b) Services acquisitions shall meet the minimum specifications as outlined in the IT procurement policy to guarantee support by IT.

#### 4.4.9 Departmental support

- a) The IT support function shall act as the second level support to the existing Computer Laboratory Administrator for University Basic Operation Units (BOU). IT department staff shall be available to consult or to help with significant problems.
- b) The IT department shall not be available to provide basic and routine cleaning and simple troubleshooting for machines except where such computer laboratories are directly owned by the IT department

#### 4.4.10 Network devices

The IT department shall own core network active devices such as switches, routers, bridges, gateways and related equipment including enclosures, and shall be responsible for the following:

- a) Creating and maintaining an adequate operating environment (floor space, environment control, ventilation, backup power supply) for the equipment.
- b) Routine maintenance and upgrade of the equipment.
- c) Advising on all expenses incurred during repair, maintenance, and upgrade.

#### 4.4.11 Printing Facilities

A BOU in the University may implement a centralised printing facility at which most print jobs shall be processed. This shall be equipped with at least one print device of appropriate specification

#### 4.4.12 Escalation of support requests

Where necessary, the IT support function shall escalate user support requests to appropriate IT department sections and other university functional units.

#### 4.4.13 Support resources

- a) The College/Campus/Department shall provide office and workshop space; furniture; and basic office amenities to IT support function.

#### 4.4.14 Tools and Equipment

Every campus shall have a stock of support tools consisting of items as determined by the support work within. Also, a stock of shared tools shall be maintained centrally in the IT department.

#### 4.4.15 Dress and Gear



Support personnel shall be supplied with protective and safety clothing and gear suitable for the tasks involved in the support activities. These shall include items such as overalls, dust coats, dust masks, safety gloves, and other items as the management of the IT department may determine from time to time.

#### 4.4.16 Logistical Resources

- a) Towards realising the set support standards such as turn-around time and low downtime, the IT department shall ensure the availability of logistical resources for transport to ensure rapid movement between support sites and communications to ensure contact between support personnel.
- b) Communication: Support personnel shall be equipped with appropriate communication equipment to maintain effective contact with one another in the course of duty.

#### 4.4.17 Enforcement

- a) The Enforcement of this policy shall be the responsibility of the Deputy Director, IT. This shall be ensured through strict adherence to the IT standards.
- b) Violations will be addressed through established University and national legal mechanisms.
- c) Where required and applicable, the Vice-Chancellor shall provide oversights, insights, and guidance in case of any violation.

## 5 IT Training Policy

### 5.1 Introduction

A variety of products and services are developed or procured by the IT department in response to the business requirements of the University. Upon production, these products and services are distributed (or made available) to users. Thereafter, continuous and tailored training is necessary in order for users to fully exploit them. The policy shall clarify guidelines for such training.

### 5.2 Policy objective

The objective of this policy is to outline the guidelines applicable when planning for, organising and conducting IT training at the University.

### 5.3 Scope

5.3.1 This policy specifies the general approach to the training of all university staff and students; and any other stakeholders accessing University IT services, as the primary users of IT services.

5.3.2 It addresses the training content and methodology for IT users.

## 6 IT Literacy

All university staff should be literate users of IT services, the level of literacy being in line with the demands of their job functions. Training shall, therefore, focus on building skills in users, making them effective in exploiting IT resources, products, and services.

### 6.1 Mode of training

6.1.1 External IT training shall be organised by the IT department in response to need as may be assessed from time to time when training is not possible within the University.

6.1.2 Internal IT user training targeting the university community shall be scheduled continuously and shall be conducted both on the campuses and at the E-Learning centre in the IT department.

#### 6.2 Trainees

6.2.1 The IT department shall jointly with user departments nominate trainees for external IT training when the need for such training arises.

6.2.2 An Officer in Charge of Campus (OIC) in response to assessed needs shall jointly with the user departments in their campus nominate users and forward the names to the Deputy Director IT. The operating unit shall make the necessary arrangements to facilitate trainees drawn from such units.

#### 6.3 Training resources

The IT department in liaison with the user department shall identify the appropriate trainers for the training as demanded by the needs of the scheduled training.

The IT department jointly with the user departments shall provide necessary resources to facilitate the training

#### 6.4 Training needs and Curriculum development

OICs, Project Leaders, and service developers shall establish IT training needs in liaison with user departments and service consumers. In cases where the IT department is not well placed to train in a given area, the IT department shall identify and recommend appropriate training and work out the requirements of the training.

6.4.1 The IT department shall develop curricula for all training, including the development of source material. To this end, the IT Department shall where possible: i) recommend curriculum for all external training ii) provide training materials on-line via the University website iii) conduct on-line assessment tests and examinations

6.4.2 Where external training is sourced, the IT department shall jointly with the external training agent, customise the content to meet the training needs of the users.

#### 6.5 Acknowledgement of training

The IT department shall issue certificates on successful completion of training and examination.

### 7 **IT Procurement Policy**

#### 7.1 Definition of terms

7.1.1 Department: The University is made up of numerous units. These units control their resources and can, therefore, procure goods and services. These include Colleges, Institutes, Schools, Faculties, Academic Departments, Service Departments, Centre, and administrative offices. In this policy, the term department means the procuring entity within the University.

7.1.2 IT goods and services: The IT goods and services to be provided by the qualified and selected bidder under the contract (such as the supply of any major hardware, software, or other components of the required Information Technologies specified, or the performance of any related Services, including software

development, transportation, installation, customisation, integration, commissioning, training, technical support, maintenance or repair).

- 7.1.3 Technical specifications: A document intended for use in procurement, which clearly and accurately describes the essential and technical requirements for items, materials, information systems or services, including procedures by which it will be determined that the requirements have been met.
- 7.1.4 Emergency: This is a sudden unforeseen crisis usually involving possible negative consequences, requiring immediate action, in this case, undertaking a sudden procurement.
- 7.1.5 Proposal: This is the activity of establishing and assembling all the specifications and cost elements to initiate an acquisition within an agreed scope.
- 7.1.6 Project: This is a series of activities geared toward achieving a defined objective within a specified period of time.
- 7.1.7 Quotation: This will mean a statement of the present going market price for goods or services, including the accompanying terms as provided by the intending supplier.

7.2 The IT department shall provide the following services:

- 7.2.1 Assist the departments in preparation of technical specifications for the purpose of procuring goods and services related to IT whenever the need arises.
- 7.2.2 Assist the purchasing department in cases of emergencies to identify reputable companies or registered providers to reduce any delay in procurement.
- 7.2.3 The procedures shall conform to the University's rules, regulations, and obligations and ensure that projects for various departments are pursued diligently and efficiently. The procedures shall also ensure that the goods and services to be procured meet the following criteria:
  - a) Are of satisfactory quality and are compatible with the balance of the project;
  - b) Will be delivered or completed in a timely fashion; and,
  - c) Are priced so as not to adversely affect the economic and financial viability of the project.

7.3 Policy scope

The IT shall assist the departments with the preparation of technical specifications whenever the need arises. The principles of efficiency and effectiveness in the procurement of the goods and services involved shall guide the process. Transparency in the procurement process is essential.

7.4 Policy statements

The following policy statements shall govern the units or entities of the University in the procurement of IT goods and services in:

- a) Identification of the needs and the justification for the procurement of goods and services.
- b) Development of the technical specification with the help of the IT and ensure the specification are aligned with the latest technology.
- c) Adhere to the procurement policy of the University.
- d) Comply with the financial regulations of the University.

- e) All IT goods and services shall be delivered to the IT wherever it may be from time to time or such other place as may be agreed between the procuring department and IT centre.
- f) All IT goods and services shall be inspected by the IT representative(s) to ensure compliance with the technical specification before being commissioned for use.
- g) IT shall:
  - 7.4.1.g.1 Check the delivery of goods and services against the PO
  - 7.4.1.g.2 Examine and test the compliance of the goods to technical specifications following the contract awarded to the supplier.
  - 7.4.1.g.3 Install the software and configure delivered equipment and software.

## 8 **IT Operations and Maintenance Policies**

8.1 Policy Statement: The Yenepoya (Deemed to be University) is highly dependent on technology to perform its activities daily. As a result, the University has adopted a formal approach to operating and maintaining its Information Technology ("IT") systems and resources.

8.2 Objective: The objective of this policy is to define the roles, responsibilities, and critical elements for the efficient operations and support of IT systems at the University.

8.3 Scope:

This policy applies to:

- a) All universities offices, campuses and learning centres, including specifically the IT department.
- b) All IT systems or applications managed by the University that store, process or transmit information, including network and computer hardware, software and applications, mobile devices, and telecommunication systems.
- c) "IT Problems" are conditions or situations (known or unknown) that can result in an incident.
- d) "IT Incidents" are unplanned events that cause an interruption to, or a reduction in, the quality of the IT operations or services.
- e) "Security Vulnerabilities" are IT problems that present specific risks to cybersecurity. Vulnerabilities that have a high probability of being exploited and that will highly impact the Universities (risk of operation disruption, data breach, etc.) are often labelled as "Critical" or "High".

## 9 **Help desk and User support**

The IT help desk will act as the central point of contact for all IT technical requests.

The users will log the service request with the IT help desk, using the backbone issue tracker.

9.1 The IT help desk will use the following guidelines to prioritise its response to requests:



<b>PRIORITY</b>	<b>CRITERIA</b>	<b>RESPONSE TIME (*)</b>
<b>Emergency</b>	<p>Requests for issues having a significant and immediate impact on the University's or Hospital's operations.</p> <p>For example:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> An issue is affecting all or a large number of users or patients</li> <li><input type="checkbox"/> An issue is preventing users from accessing critical applications or data, or impacting critical functions (e.g. access to HMIS, network shares, email, or academic courses).</li> <li><input type="checkbox"/> An information security incident or vulnerability with a critical/high severity/risk.</li> <li><input type="checkbox"/> Other as directed (removal of access rights for an unscheduled terminated user, for example).</li> </ul>	Within 10 minutes
<b>High</b>	<p>Requests for issues having an important impact on the University's operations. For example:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> An application error is affecting a small group of users.</li> <li><input type="checkbox"/> An issue is impacting important functions in a system.</li> <li><input type="checkbox"/> An information security incident or vulnerabilities with a medium/high severity/risk.</li> <li><input type="checkbox"/> Other as directed.</li> </ul>	Within 2 hours

<b>Low</b>	<p>Requests for issues having a limited or non-immediate impact on the University's operations. For example:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> An issue is affecting one person only.</li> <li><input type="checkbox"/> An issue is impacting a non-critical function in a system (reporting for example).</li> <li><input type="checkbox"/> A security incident or vulnerability with a low/medium severity/risk.</li> <li><input type="checkbox"/> A question on how to use a non-critical functionality.</li> <li><input type="checkbox"/> A "cosmetic" request, to improve a system functionality "look and feel" or a minor non-functional change to a system.</li> </ul>	Before the end of the working day
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(\*) *The response time corresponds to the time to process the request, including analysing and classifying the request, attributing a ticket to the System administrator or IT assistant, and dispatching them. This time does not indicate when the ticket must be resolved.*

The assigned System administrator or IT assistant will respond to all requests submitted to the IT Help Desk within a one- week period where possible. If a request cannot be processed within a one-week timeframe, the System administrator or IT assistant should inform the user who submitted the request.

## 10 E-waste policy:

10.1 E-waste has been defined as-

*"Waste electrical and electronic equipment, whole or in part or rejects from their manufacturing and repair process, which are intended to be discarded."*

Whereas, electrical and electronic equipment has been defined as

*"Equipment which is dependent on electrical currents or electromagnetic fields to fully functional".*

Like hazardous waste, the problem of e-waste has become an immediate and long-term concern as its unregulated accumulation and recycling can lead to major environmental problems endangering human health. This calls for an urgent need for e-waste management so as to preserve the ecological balance and reduce landfills. Recycling end-of-life products is vital if we are to save resources and minimise waste.

10.2 Do's and Don'ts of E-waste:

Do's:

- a) Always look for information on the catalogue with your product for end-of-life equipment handling.
- b) Ensure that only authorised recyclers/ dismantler handle your electronic (i.e. LED TV's and accessories) products

- c) Always call at your products toll-free no's to dispose of those that have reached the end-of-life.
- d) Always drop your used electronic products, batteries or any accessories when they reach the end of their life at your nearest authorised e-waste collection points.
- e) Always disconnect the battery from product, and ensure any glass surface is protected against breakage.

Don'ts:

- a) Do not dismantle your electronic products on your own.
- b) Do not throw electronics in bins having "Do not Dispose" sign.
- c) Do not give e-waste to informal and unorganised sectors like Local Scrap Dealer/ Rag Pickers.
- d) Do not dispose of your product in garbage bins along with municipal waste that ultimately reaches landfills.

10.3 The E-waste collected at the University is stocked at the E-waste godown, and is disposed to E-waste handlers – "Cerebra Green" who are licensed for processing e-Waste, recycling, and management activities from Karnataka state pollution control board.

## 11 Policy to prevent and deal with technology misuse/abuse:

In support of the University's mission of teaching, research, and public service, the University provides computing, networking, and information resources to the campus community of students, faculty, and staff.

### 11.1 Rights and Responsibilities

Computers and networks can provide access to resources on and off-campus, as well as the ability to communicate with other users worldwide. Such open access is a privilege and requires that individual users act responsibly. Users must respect the rights of other users, respect the integrity of the systems and related physical resources, and observe all relevant laws, regulations, and contractual obligations.

Students and employees may have rights of access to information about themselves contained in computer files, as specified in federal and state laws. Files may be subject to search under court order. In addition, system administrators may access user files as required to protect the integrity of computer systems. For example, following organisational guidelines, system administrators may access or examine files or accounts that are suspected of unauthorised use or misuse, or that have been corrupted or damaged.

### 11.2 Existing legal context

All existing laws and university regulations and policies apply, including not only those laws and regulations that are specific to computers and networks but also those that may generally apply to personal conduct.

Misuse of computing, networking, or information resources may result in the restriction of computing privileges. Additionally, misuse can be prosecuted under applicable statutes.

Users may be held accountable for their conduct under any applicable University or campus policies, procedures, or collective bargaining agreements.

Complaints alleging misuse of campus computing and network resources will be directed to those responsible for taking appropriate disciplinary action. Reproduction or distribution of copyrighted works, including, but not limited to, images, text, or software, without permission of the owner is an infringement of copyright law and is subject to civil damages and criminal penalties including fines and imprisonment.

### 11.3 Examples of misuse

11.3.1 Examples of misuse include, but are not limited to, the activities in the following list.

11.3.2 Using a computer account that you are not authorised to use. Obtaining a password for a computer account without the consent of the account owner.

11.3.3 Using the campus network to gain unauthorised access to any computer systems.

11.3.4 Knowingly performing an act that will interfere with the normal operation of computers, terminals, peripherals, or networks.

11.3.5 Knowingly running or installing on any computer system or network, or giving to another user, a program intended to damage or to place excessive load on a computer system or network. This includes but is not limited to programs known as computer viruses, trojan horses, and worms.

11.3.6 Attempting to circumvent data protection schemes or uncover security loopholes.

11.3.7 Violating terms of applicable software licensing agreements or copyright laws.

11.3.8 Deliberately wasting computing resources.

11.3.9 Using electronic mail to harass others.

11.3.10 Masking the identity of an account or machine.

11.3.11 Posting materials on electronic bulletin boards that violate existing laws or the university's codes of conduct.

11.3.12 Attempting to monitor or tamper with another user's electronic communications, or reading, copying, changing, or deleting another user's files or software without the explicit agreement of the owner.

11.3.13 Activities will not be considered misuse when authorised by appropriate university officials for security or performance.

# Policy on Substance Abuse Prevention

ATTESTED



Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Dornya) Deemed to be University)  
University Road, Deralakatte  
Mangalore - 575 018, Karnataka





**YENEPOYA**  
(DEEMED TO BE UNIVERSITY)  
Recognized under Sec 3(A) of the UGC Act 1956  
Accredited by NAAC with 'A' Grade

University Road, Deralakatte, Mangaluru – 575 018

No. Y/REG/PA/BOM-54/Notification/002/2021

Date: 16.07.2021

**NOTIFICATION**

**Sub: Policy on Substance Abuse Prevention - reg.**

**Ref: 54<sup>th</sup> meeting of the BoM held on 08.07.2021 – Agenda 4.**

.....

As discussed under Agenda 4 of the 54th Board of Management Online meeting held on 8<sup>th</sup> July 2021, it was resolved to accept the policy on Substance Abuse Prevention.

Dr. Gangadhara Somayaji K.S.  
Registrar **Registra**  
**YENEPOYA**  
(Deemed to be University)

To:

Academics

Copy to:  
IQAC

**ATTESTED**

Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka

## Policy on Substance abuse prevention

### Preamble:

Substance abuse is an enormous problem faced by colleges and universities today, which not only disrupts the learning environment but also adversely affects the fabric of university campus experience. Yenepoya (Deemed to be University) is well aware of its role in shaping young men and women to become the future leaders of our country, who will set the norms and establish behavioral patterns for the next generation. Therefore Yenepoya (Deemed to be University) has set a definite policy on Substance Abuse Prevention and related issues as an expression of commitment in providing a campus experience that allows students to rise to their full potential without any hindrance.

### Guiding Principle of the Policy

The campus and surrounding community exert a profound influence on innumerable facets of student life. The social, academic, and co-curricular milieu is often shaped by the social norms and perceptions related to the use of alcohol, tobacco, and other drugs on the campus. To prevent substance abuse and to create a secure, conducive atmosphere for learning among the students in the campus, Yenepoya (Deemed to be University) has formulated specific guidelines concerning the possession, use and/or distribution of substances of abuse.

Under the National Policy on Narcotic Drugs and Psychotropic Substances (NDPS) and UGC guidelines, Yenepoya (Deemed to be University) prohibits the unlawful possession, use, distribution, or manufacture or dispensing of substances of abuse including tobacco, alcohol or any other drugs and substances mentioned in The Narcotic Drugs and Psychotropic Act 1985 on premises owned or controlled by Yenepoya (Deemed to be University). The policy will apply to all members of the University including students, staff and faculty members and to all events or activities which are organized, conducted or sponsored by the University, whether they occur at the university or outside.

**ATTESTED**



## **Objectives of the policy:**

**The Policy is formulated keeping in mind the following objectives**

1. To ensure that the university campus is safe and healthy and fosters a learning culture
2. To create awareness about the adverse effects of Substance abuse as an enormous threat to individuals and society as a whole.
3. To take all necessary measures to prevent, limit and possibly eliminate 'substance' abuse in the Campus which can be a major obstacle to academic performance
4. To assist the students who seek help in handling substance abuse-related problems
5. To handle the reported cases of substance abuse objectively with compassion and caution

## **Substance abuse prevention activities and facilities of campus**

Yenepoya (Deemed to be University) has specific programs in place that are intended to reduce the initiation of substance use, identify the users and offer help to those who need it. To spearhead the substance abuse prevention activities of the campus, Yenepoya (Deemed to be University) has established a Centre for Substance Abuse Prevention with satellite units in all constituent colleges.

### **1. Prevention Strategies**

While the Yenepoya (Deemed to be University) takes a serious view of tobacco, alcohol and other substances of abuse on its campus, it strongly believes that the best way to maintain an appropriate campus environment concerning the same is through preventive education about the dangers of substance abuse

#### **a.) Providing Healthy campus Environment**

Campus environment including physical and social/cultural is of great importance in influencing student attitudes and actions towards substance abuse related issues. The university strives to create an environment that discourages substance use while promoting a healthier lifestyle and



offer substance-free recreational opportunities so that students can get together and have fun without the disruption and danger of tobacco, alcohol or other substances of abuse

### **b.) Policy and rule enforcement**

Yenepoya (Deemed to be University) has set clear and consistent substance abuse prevention policies and consequences of violations. The University will adhere to the following guidelines concerning the possession, use and/or distribution of substances of abuse:

1. The possession, use and/or distribution of substances of abuse including tobacco, alcohol or any other drugs and substances mentioned in The Narcotic Drugs and Psychotropic Act 1985 are prohibited on premises owned or controlled by Yenepoya (Deemed to be) University.
2. Yenepoya (Deemed to be) University squads will carry out random checks on students/residential premises for substances of abuse.
3. Possession, use and/or distribution of substances of abuse will attract appropriate disciplinary action which may include expulsion.
4. Offenders will also come under the purview of Narcotic Drugs and Psychotropic Substances Act 1985 (NDPS Act) and will be liable for penal action as specified in the latter part of this policy document.

In furtherance of this purpose, a copy of the policy will be distributed to the newly joining students and their parents and an affidavit will be collected from students countersigned by parents. This policy will be reviewed biennially to assess the effectiveness of the university's Substance abuse prevention program.

### **c. Awareness programs/ Education**

Educating students about the risks and harmful effects of substance abuse should be the foundation of all prevention efforts. By creating an understanding of what these substances can



do to their bodies, students can be encouraged to take an informed decision and may choose to stay away from these substances of abuse. Students who are struggling to resist peer pressure to use drugs will find strength through such awareness programs. Providing awareness programs are of particular importance to newly joined students of the University because these young adults are faced with new and exciting challenges during this transition period of their lives, along with potentially risky situations.

Accordingly, all the constituent institutions of the University should

- Have interaction with students joining the institution with their parents/ guardian to explain the University campus policy on Substance abuse related issues and consequences of violation also on University's expectations on parents in following up their ward's academic performance, attendance and money being spent.
- Include an orientation class in regular student Induction Program on adverse effects of tobacco ,alcohol, and other substances of abuse on health and behaviour
- Conduct further follow up sessions at least once a year.
- Encourage Student involvement in awareness programs by organizing programs through the student council of the institutions and encouraging student's participation in volunteer activities in helping others etc.

## **2. Early detection and support:**

To protect the campus environment Yenepoya (Deemed to be University) gives equal importance in identifying the students who have begun substance and providing necessary assistance. Such students will be encouraged to put an end to these ruinous habits before they experience any negative consequences and before they can drag others into these habits. The members of the university community including faculty, staff, resident assistants, student representatives and others are alerted to pay attention to students who exhibit the signs of substance abuse such as behavioural disturbances, poor attendance record or a sudden decline in academic performance. If any such observations are made, the responsible personnel are to bring it to the notice of heads of the institution or the student welfare officer.



Compassionate attention will be ensured to the needs of those who are suspected to be using 'substance' / may seek help related to drug-related problems. Students will be encouraged to avail services which include referral for medical or counselling services or educational interventions or de-addiction services. Confidentiality in these circumstances will be protected in compliance with University policy

### **3. Disciplinary Procedures:**

The university will impose disciplinary sanctions on students for violations of the Substance Abuse Prevention Policy. Sanctions will be imposed following the procedures of the disciplinary committee of the university.

The intensity of sanction will depend upon the nature/severity of the offence committed and whether the person involved is non habitual/habitual offender:

1. In case of suspicion, i.e. if the involvement of the person cannot be established, without doubt, a verbal warning will be given by the Head of the institution. The student will be reminded of existing government laws and punishment for use, possession, and distribution of 'substance' of abuse.
2. Confirmed case of violation actions taken as mentioned below

The record of a student involved in substance abuse has to be maintained by the institutional Substance Abuse Committee with all reports. If such a report is created on a student, he/she will consequentially become ineligible to receive any letters of recommendation or reference from the institution and he/she will not be considered for any accolades. Distribution or supply of 'substance' will be taken more seriously and disciplinary action will be more severe.

#### **Consequences based on the number of times of violation of policy**

##### **Non habitual offenders/1st time Offence:**

1. The Head of the institution will give a written warning to the student, mentioning a disciplinary action that will be initiated on the repetition of the offence.



2. A notification will be sent to parent/guardian summoning him/her for a meeting with the Head of the institution, the Institutional Substance Abuse Prevention Committee and Mentor
3. The student will be referred for counseling.

**Non habitual offenders/ 2nd time Offence:**

1. The Head of the institution will notify the parent/guardian and call him/her for a meeting with the Institutional Substance Abuse Committee /Mentor.
2. The student will be suspended from academic activities for a minimum period of one week. During the period of suspension, the student will not be eligible for any privileges and will have no access to any facilities or services, including the use of library facility.
3. The student will attend counseling sessions along with his/her parent/ guardian or a de-addiction process as applicable during the period of suspension. The rules of attendance will be applied with respect to eligibility to appear for university examinations.
4. The student will resume regular classes on satisfactory report of the Institutional Substance Abuse Prevention Committee and any condition put forth by the institution, on him/her.

**Habitual offenders/ 3rd time Offence:**

1. The Head of the institution will notify the parent/guardian summoning him/her for a meeting with the Head of the institution
2. Suspension from the institution for one term/semester with academic work. During the period of suspension, the student will not be eligible for any privileges and will have no access to any facilities or services including residing in the hostel of the institution/university. The rules of attendance will be applied with respect to eligibility to appear for university examinations.
3. The student will have to go through more intense de-addiction process in a recognized de-addiction centre for counseling and rehabilitation. On the completion of the suspension period, in order to obtain permission to resume the classes, a wellness and fitness certificate of the student from authorized person should be submitted to the Substance Abuse Prevention Committee for review.





**CENTER FOR SUBSTANCE ABUSE PREVENTION  
YENEPOYA (DEEMED TO BE UNIVERSITY)**



4. The student will have to attend the counseling sessions arranged by the institution, for regular follow-up.

**Habitual offenders/ Subsequent Violations:**

In case of any subsequent violation, the student will be dismissed from the institution. Such students will be subject to the rules of the University in the matter of fees payable by him/her.

In addition to the above disciplinary actions decided by University, as required by law, the university will also cooperate with law enforcement authorities in referring for prosecution the unlawful possession, use, or distribution of alcohol and illicit drugs by students or employees on university premises.

**Conclusion:**

Yenepeya (Deemed to be University) is obliged to put into practice the strategies put forward on Substance Abuse Prevention Policy document for the eradication of Substances of Abuse in the campuses. This is a genuine attempt to ensure campus safety and to tackle one of the major obstacles to academic performance. Stopping student substance abuse will also boost the quality of life of students and bring huge dividends tomorrow in terms of career advancement and personal satisfaction.

\*\*\*\*\*

ATTESTED

Dr. Gangadhara Somayaji K S.  
Registrar  
Yenepeya (Deemed to be University)  
University Road, Derlakatte  
Mangalore - 575 018, Karnataka

# **Service Rules**

## **Terms and Conditions of Services of Teachers Working in the University - Bye Laws (Vol. I)**

ATTESTED  


Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka





**YENEPOYA**

**(DEEMED TO BE UNIVERSITY)**

**Recognized under Sec 3(A) of the UGC Act 1956**

**Accredited by NAAC with 'A' Grade**

**ATTESTED**

Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoaya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka

**TERMS & CONDITIONS OF SERVICES OF TEACHERS  
WORKING IN THE UNIVERSITY**

**Bye Laws (Vol. I)**

**YU 1- 81**

**Pg. No.15- 81**

**Approved by the Board of Management as per resolution (Agenda No. 5) in  
its meeting held on 11 July 2008**

*Terms and conditions of service of teachers working in the University and its constituent colleges – Bye – laws prepared under Rule No.26 (k & l) of the Memorandum of Association.  
(Amended on BOM dtd.25.01.2016)*

*Terms and conditions of service of teachers working in the University and its constituent colleges – Bye – laws  
(Amended on BOM dtd.17.02.2018)*

*Terms and conditions of service of teachers working in the University and its constituent colleges – Bye – laws prepared under Rule No. 6.0 of the Memorandum of Association.  
(Amended on 53<sup>RD</sup> BOM dtd.23/03/2021)*


**ATTESTED**



Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka

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ATTESTED  




( TO BE PUBLISHED IN THE GAZETTE OF INDIA PART-I SECTION-1 )

No. F.9-11/2007-U3(A)

Government of India

Ministry of Human Resource Development

[Department of Higher Education]

U.3(A) Section

Shastri Bhawan, New Delhi-01,

Dated the 11<sup>th</sup> January, 2018

**NOTIFICATION**

Whereas, the Central Government is empowered under Section 3 of the University Grants Commission (UGC) Act, 1956 to declare, on the advice of the UGC, an Institution of higher learning as deemed to be University.

2. And whereas, in exercise of the powers conferred by Section 3 of the UGC Act, 1956, the Central Government vide its Notification No.9-11/2007-U3(A) dated 27.02.2008, on the advice of UGC, had declared Yenepoya University, Mangalore, Karnataka consisting of Yenepoya Dental College, Mangalore as "deemed to be University", with effect from the date on which the aforesaid Dental College disaffiliates itself from its affiliating University viz. Rajiv Gandhi University of Health Sciences, Karnataka, Bangalore.

3. And further whereas, the Hon'ble Supreme Court of India vide its judgment Order dated 03.11.2017 in Civil Appeal Nos. 17869-17870/2017 (arising out of SLP(C) Nos.19807-19808/2012) filed by Orissa Lift Irrigation Corp. Ltd Versus Rabi Sankar Patro & Ors. and Civil Appeal Nos.17902-17905/2017 (arising out of SLP C Nos.35793-96/2012) titled as Vijay Kumar & Ors Vs. Kartar Singh & Ors held that UGC shall take appropriate steps for implementing Section 23 of the UGC Act and restraining Deemed to be Universities from using the word 'University' within one month from today.

4. And whereas, Section 23 of the UGC Act, 1956 says "no institution, whether a corporate body or not, other than a University established or incorporated by or under a Central Act, a Provincial Act or a State Act shall be entitled to have the word "University" associated with its name in any manner whatsoever: Provided that nothing in this section shall, for a period of two years from the commencement of this Act, apply to an institution which, immediately before such commencement, had the word "University" associated with its name".

**ATTESTED**




3

Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 016, Karnataka



5. Now, therefore, in exercise of the powers conferred under Section 3 of the UGC Act, 1956, the Central Government, as per direction of Hon'ble Supreme Court and on the advice of the UGC, do hereby change the name of "Yenepoya University" to "Yenepoya" by deleting the word 'University' from its name w.e.f. the issuance of this Notification. "Yenepoya" shall not use the word 'University' suffixed to its name but may mention the words "deemed to be university" within parenthesis suffixed thereto.

6. All other conditions mentioned in the earlier Notification dated 27.02.2008 shall continue to be adhered by "Yenepoya".

  
(Sanjay Kumar Sinha)  
Joint Secretary to the Government of India  
Tel: 011-23383432

The Manager,  
Government of India Press,  
Faridabad (Haryana).

Copy forwarded to:-

- 1/ The Secretary, University Grants Commission, Bahadurshah Zafar Marg, New Delhi with the request to review the functioning of "Yenepoya" regarding fulfillment of the conditions of earlier Notification of this Ministry and Rules / Regulations of UGC and other Statutory Councils. It is also requested to make necessary changes in the website of UGC.
2. The Vice-Chancellor, "Yenepoya", Mangalore, Karnataka.
3. The Principal Secretary to the Government of Karnataka, Department of Higher Education, Government of Karnataka Secretariat, MS Buildings, Dr. B. R. Ambedkar Veedi, Bangalore-560001.
4. The Secretary, Dental Council of India (DCI), Aiwan-E-Galib Marg, Kotla Road, Temple Lane, New Delhi-110002.
5. The Under Secretary (ME-P.II), Ministry of Health & Family Welfare, Nirman Bhawan, New Delhi-110011.
6. Press Information Bureau, Shastri Bhawan, New Delhi.
7. The Secretary General, Association of Indian Universities, AIU House, 16, Kotla Marg, New Delhi-2.

ATTESTED



Dr. Gangadhara Somayaji K.S.  
Registrar  
Yenepoya (Deemed to be University)  
City Road, Deralakatte  
Mangalore- 576 018, Karnataka



8. Web Master, Department of Higher Education, Shastri Bhavan, New Delhi. It is requested that CMIS Unit may kindly be instructed to display the Notification on the website (Home site) of the Department.
9. Guard file / Notification file.



[Prabhakar Mishra]  
Under Secretary to the Govt. of India

ATTESTED



Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka

( TO BE PUBLISHED IN THE GAZETTE OF INDIA PART-I SECTION-1 )

No. F. 9-11/2007-U.3(A)  
Government of India,  
Ministry of Human Resource Development  
(Department of Higher Education)

Shastri Bhawan, New Delhi,  
Dated the 27<sup>th</sup> February, 2008.

NOTIFICATION

Whereas the Central Government is empowered under Section 3 of the University Grants Commission (UGC) Act, 1956 to declare, on the advice of the UGC, an institution of higher learning as a deemed-to-be-university,

2. And whereas, a proposal was received from Islamic Academy of Education, Mangalore, Karnataka seeking status of deemed-to-be-university in the name of 'Yenepoya University' under Section 3 of the UGC Act, 1956;

3. And whereas, the University Grants Commission have examined the said proposal and vide their communication No.F.26-8/2007 (CPP-I) dated the 23<sup>rd</sup> October, 2007 have recommended conferment of status of 'deemed-to-be-university' to Yenepoya University, Mangalore, Karnataka, comprising Yenepoya Dental College, Mangalore, under Section 3 of the UGC Act, 1956;

4. Therefore, in exercise of the powers conferred by Section 3 of the University Grants Commission Act, 1956, the Central Government, on the advice of the University Grants Commission (UGC), hereby declare Yenepoya University, Mangalore, Karnataka, comprising Yenepoya Dental College, Deralakatte, Mangalore, as deemed-to-be university for the purposes of the aforesaid Act, with effect from the date on which the aforesaid Dental College is disaffiliated from its affiliating university, viz., Rajiv Gandhi University of Health Sciences, Bangalore, Karnataka;

**ATTESTED**




Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka



5. The declaration made in para 4 above is subject to further conditions mentioned at Sr. No.5 of the endorsement to this Notification;

6. Neither the Government of India nor the University Grants Commission shall provide any Plan and Non-Plan grant-in-aid to Yenepoya University or its constituent teaching units.



(Ravi Mathur)

Joint Secretary to the Government of India

The Manager,  
Government of India Press,  
Faridabad (Haryana).

Copy forwarded to :-

1. The Secretary, University Grants Commission, Bahadurshah Zafar Marg, New Delhi - 110002.
2. Director, Distance Education Council, Indira Gandhi National Open University, Maidan Garhi, New Delhi.
3. The Under Secretary, (ME-P.II), Ministry of Health and Family Welfare (Department of Health), Nirman Bhavan, New Delhi - 110011.
4. The Secretary, Dental Council of India (DCI), Aiwan-E-Gallib Marg, Kotla Road, New Delhi-110002, with reference to DCI's letter No.DE-15(40)-2007/B-2129 dated 27.11.2007.
5. The Chairman, Yenepoya University, Yenepoya Medical & Dental College Campus, Deralakatte, Mangalore - 575018. The declaration as made in para 4 of this Notification shall be further subject to the following conditions that:-
  - (i) The objectives of the Yenepoya University Trust shall be confined to educational and related social and charitable activities only.
  - (ii) The Deemed-to-be-University institution and the Trust that will be managing it, should not undertake or engage in activities that are of commercial and profit-making in nature.
  - (iii) The Islamic Academy of Education, Mangalore and Yenepoya University Trust shall strictly adhere to the condition imposed by the State Government of Karnataka (Health & Family Welfare Department)

ATTESTED



7

Dr. Gannadhar S. S.



while issuing its NOC vide its letter No.HFVW233 MPS 2007 dated 17.05.2007 that the 'institution shall be surrendering 25% of seats (both UG & PG) to the State Government'. The Trusts concerned should also enter into an agreement by way of a 'Memorandum of Understanding' with the State Government of Karnataka, as per the latter's direction.

- (iv) The Trusts concerned shall also adhere to the policy of the State Government of Karnataka on admission of students to Medical and Dental Colleges as stipulated from time to time.
- (v) The corpus fund created by the Yenepoya University Trust should be irrevocable in nature and should not be liquidated without the prior consent of the UGC. Accordingly, Yenepoya University Trust shall submit an undertaking in this respect to the UGC immediately and also take necessary action in consultation with the UGC to ensure irrevocability of the corpus fund.
- (vi) The academic programmes being offered or to be offered by Yenepoya University will conform to the norms and standards prescribed by the relevant Statutory Councils such as the UGC, DCI, etc. Yenepoya University shall not offer / award, as the case may be, any degrees that are not specified by the UGC. Yenepoya University shall also ensure that the nomenclatures of the degrees, etc. to be awarded by it are specified by the UGC under Section 22 of the UGC Act, 1956.
- (vii) Yenepoya University shall not start new academic courses without obtaining prior approval of Ministry of Health and Family Welfare and/or the concerned Statutory Councils such as DCI, etc., as the case may be.
- (viii) Yenepoya University, as a deemed-to-be-university, shall award degrees in respect of the courses run by the Yenepoya Dental College only to those students who are admitted subsequent to the date of this notification. Accordingly, it shall make admission and enrolment of students to the academic courses of the Yenepoya Dental College under it (i.e. under Yenepoya University) only with effect from the ensuing academic year (i.e. from 2008-2009).
- (ix) As for the students who were already admitted to Yenepoya Dental College prior to the date of this notification, they shall continue to pursue their courses of study under affiliation to the present affiliating university, namely, the Rajiv Gandhi University of Health Sciences (RGUHS) Karnataka, Bangalore, which shall conduct examinations for them and award degrees to them upon successful completion of the courses/programmes of study they are pursuing at the college presently.

ATTESTED



Dr.Gangadhara Somayaji K.S.  
Registrar

Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 015, Karnataka



- (x) Yenepoya University shall take immediate action to start doctoral programmes.
- (xi) All the prescribed norms and procedures of the relevant Statutory Councils, such as UGC, DCI, etc. and other authorities concerned in the matter of admission of students, intake capacity of students, starting of new courses/ programmes, renewal of approval to the courses, etc. will continue to be in force, and shall be adhered to by the Yenepoya University.
- (xii) Yenepoya University shall take all the required steps to get itself rated for valid accreditation by the National Assessment and Accreditation Council (NAAC) in terms of instructions issued by the UGC vide its circular No.F.6-1(7)/2006(GPP-I) dated the 12<sup>th</sup> March, 2007.
- (xiii) Yenepoya University shall not conduct any distance education programmes without prior approval of UGC and Distance Education Council (DEC). The guidelines issued by both the DEC and the UGC from time to time in the matter of imparting education through distance mode have to be complied with by it.
- (xiv) Yenepoya University shall not start and run any study centre / off-campus centre / off-shore campus without obtaining the requisite prior approval of the UGC/ Government of India, as the case may be.
- (xv) As and when necessary, the Yenepoya University Trust shall suitably amend and update its MoA/Rules in consultation and in concurrence with the UGC. Specific changes/amendments, if any, suggested by the Government of India or UGC shall also be carried out by the deemed-to-be-university institution in its MoA/Rules with the approval of the UGC.
- (xvi) The Bye-laws, MoA/Rules and Regulations of the Yenepoya University shall contain the names of the constituent unit(s) that will form integral part of the Deemed-to-be-University institution.
- (xvii) Yenepoya University shall strictly abide by all the norms and guidelines as laid down by the UGC and other Statutory Councils such as Dental Council of India, etc. from time to time, as are applicable to institutions notified as 'Deemed-to-be-Universities'
- (xviii) Suggestions, if any, made by the UGC's Expert Visiting Committees during its visit of the institute should be followed by Yenepoya University so as to rectify deficiencies, if any, to bring about the recommended improvement.


6. Vice Chancellor, Rajiv Gandhi University of Health Sciences (RGUHS), Karnataka, 4<sup>th</sup> 'T' Block, Jayanagar, Bangalore - 586041. The University is expected to take action in accordance with Endorsement 5(ix) regarding

**ATTESTED**



students already enrolled with it at the Yenapoya Dental College, Mangalore as per the assurance given by it vide its letter Ref. Auth/Misc/NOC-211/2007-2008, dated 27.11.2007.

7. The Principal Secretary to the Government of Karnataka, Department of Higher Education, Government of Karnataka Secretariat, Vidhana Soudha, Bangalore-560001.
8. The Secretary to Government of Karnataka, Health & Family Welfare Department (Medical Education), Karnataka Government Secretariat, Vikasa Soudha, Dr. B.R. Ambedkar Road, Bangalore – 560001.
9. Director of Medical Education, Ananda Rao Circle, Bangalore – 530009.
10. Press Information Bureau, Shastri Bhawan, New Delhi-110001.
11. The Secretary-General, Association of Indian Universities, A.I.U. House, 16 Kotla Marg, New Delhi - 110002.
13. Director (Administration) & Web Master, Department of Higher Education, Shastri Bhawan, New Delhi with the request to issue necessary instructions to the CMIS Unit to display this notification on the website of Department of Higher Education.
14. Guard file / Notification file.

  
(Ravi Mathur)  
Joint Secretary

ATTESTED



Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Derlakatta  
Mangalore- 575 018, Karnataka



University Road, Deralakatte, Mangaluru – 575 018

Date: 31.03.2021

### RESOLUTION

Sub: Proceedings of Byelaws Committee meeting held on 19.3.2021 – reg.

Ref: 53<sup>rd</sup> meeting of the BoM held on 23.03.2021-Agenda 16.

As discussed under Agenda 16 of the 53<sup>rd</sup> Board of Management Online meeting held on 23<sup>rd</sup> March 2021, it was resolved to approve the Proceedings of Byelaws Committee meeting held on 19.3.2021.

Dr. Gangadhara Somayaji K.S.

Registrar Registrar  
YENEPLOYA  
(Deemed to be University)

Encl:

Proceedings of Byelaws Committee meeting held on 19.3.2021.

ATTESTED

Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatta  
Mangalore- 575 018, Karnataka





University Road, Deralakatte, Mangaluru – 575 018


No.YU/REG/PA/BOM-42/Not/2018

Date: 24.2.2018

**NOTE**


**Sub: Proceedings of Byelaws Committee meeting - reg.  
Ref: 42<sup>nd</sup> BoM meeting held on 17.2.2018 – Agenda 14.**

The Board of Management at its meeting held on 17<sup>th</sup> February 2018 has **approved** the proceedings of the Byelaws Committee meeting held on 17<sup>th</sup> February 2018. The Board of Management has directed that, wherever the UGC Regulations are in conflict with the Byelaws, the UGC Regulations shall prevail.

  
Registrar  
Yenepoya University

To:  
✓ Academics – for further action.

ATTESTED

  
Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka



YENEPOYA  
UNIVERSITY

No. YU/REG/PA/BOM-34/Resolution/2016

Office of the Registrar  
University Road  
Deralakatte  
Mangalore - 575018  
Ph: 0824-2204667/68/69  
Fax: 0824-2203943  
Date: 05.02.2016

### RESOLUTION

Sub: Proceedings of Byelaw Amendment Committee meeting-reg.


Ref: 34<sup>th</sup> meeting of the BoM held on 25.01.2016 – Agenda 14.

It was resolved to approve the proceedings of Byelaw Amendment Committee meeting held on 25<sup>th</sup> January 2016.

Registrar  
Yenepoya University

To:  
Academics.

ATTESTED

  
Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka



**YENEPOYA  
UNIVERSITY**

Recognized under Sec 3(A) of the UGC Act 1956 as per  
Notification No. F.9-11/2007-U.3 (A) dated 27th February 2008

No. YU/REG/ BOM 3/ Not/ 2008

Date: 15.07.2008

**NOTIFICATION**

Sub: Approval for the Byelaws of Yenepoya University – reg.

Ref: 1. Proceedings of the meeting of the Sub Committee of Bye laws  
of the University.


2. 3<sup>rd</sup> BoM meeting held on 11.07.2008, Agenda 5.

\*\*\*\*\*

The Board of Management at its third meeting held on 11.07.2008 has approved the proceedings /recommendation of the Subcommittee constituted for the purpose of framing Bye laws for the university, and has resolved to accept the Byelaws as proposed.

  
Registrar  
Yenepoya University  
– Registrar  
Yenepoya University  
University Road, Deralakatte  
Mangalore - 575 018

**ATTESTED**

  
Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka

# YENEPOYA UNIVERSITY

## MANGALORE

### CHAPTER-I PRELIMINARY

#### **YU 1: Short Title & Commencement**

1. These Bye-laws may be called—the Bye-law governing the Terms and Conditions of Service for the Teachers working in the University.
2. These Bye-laws shall come into force with effect from 11<sup>th</sup> July 2008.

#### **YU 2: Extent of Applications**

The teacher shall accept the employment in the University, with full understanding and agreement to work in furtherance of the objectives, development and welfare of the University, by placing all his time, energy, intelligence and skill at the disposal of the employer and by complying with the provisions of the Memorandum of Association, Bye-laws and such other directives of the Authorities and the Vice-Chancellor issued from time to time. Hence these Bye -laws shall apply to all the teachers working in the University.

#### **YU 3: Right to Interpret**

The Chancellor of the University shall have the right to interpret these Bye-laws.

#### **YU 4: Powers to amend & repeal the Bye-laws**

The Bye-laws may be amended or repealed as provided under the Memorandum of Association.

#### **YU 5: Powers to implement the Bye-laws**

The Vice Chancellor shall implement the bylaws as amended or repealed.

#### **Y U 6: Power of Relaxation**

Where the Chancellor is satisfied that the operation of any of these Bye-laws causes or is likely to cause undue hardship in the case of any teacher or teachers, he may exempt any such teacher(s) from any provisions shall apply to said teacher(s) with such modifications not affecting the substance thereof as may be specified.

#### **YU 7: Validity of Terms of Contract**

The terms of a specific contract enforceable as provided by the Memorandum of Association, necessarily override the provisions of these Bye-laws.

#### **YU 8: Exercise and Delegation of Powers**

No powers may be exercised or delegated under these Bye -laws, except in consultation with the Appointing Authority, as mentioned in the Memorandum of Association.

#### **YU 9: Definitions**

The definitions given in the Memorandum of Association shall hold good for the purpose of these By-laws. In these By-laws, unless the context otherwise requires:

1. 'University ' means the - Yenepoya University "declared as Deemed to be University by the Department of Higher and Secondary Education, Ministry of Human Resource Development, Government of India.



2. 'Agreement' means the contract entered into in writing between the teacher into in writing between the teacher and the University or the person authorized;
3. ``Appendix" means appended to these Bye-laws.
4. 'Appointing Authority" means the Authority competent to make the appointments;
5. 'Authority" means the Authority of the University as provided by or under the Memorandum of Association;
6. 'Cadre' means strength of the service or a part of service, sanctioned as a separate unit, by the University Grants Commission and accepted by the University, from time to time.
7. 'Central Council(s)' means council(s) established by the Act of Parliament;
8. 'Central Government' means Government of India;
9. 'Chancellor' means Chancellor of the University;
10. 'Coaching Classes' (Private Tuitions) means any place or premises where the teacher or group of teachers are engaged in coaching/preparing the students for award of certificate, diploma, degree or any other course recognized by the University other than their regular teaching responsibilities;
11. 'College' means constituent college of the University;
12. 'Competent Authority' means the Authority competent to exercise different powers under the Memorandum of Association and in these Bye-laws;
13. 'Departmental Advisory Committee' means Advisory Committee constituted for the Departments of college under these Bye-laws;
14. 'Disciplinary Authority' means the Authority or the officer authorized to take disciplinary action against the teacher, except otherwise provided in the Memorandum of Association.
15. 'Duty' means the compliance of the things the teacher is expected to do by the virtue of his taking a job or assuming an office and as explained in these bye-laws;
16. 'Employer' means the Yenepoya University, (Deemed University)
17. 'Form' means a form appended to these Bye-laws;
18. 'Grievances Committee' means a grievance Redressal Committee constituted under the Memorandum of Association.
19. 'Head of the Department' means the Head of the Department in the college nominated by the Vice- Chancellor under these Bye-laws;
20. 'Holiday' means a Sunday a weekly off or any other day declared as holiday by the University;
21. 'Joining Time' means the time limit prescribed to join a new post in the University;
22. 'Leave' means permission granted by the competent Authority to the teacher to remain absent from duty.
23. 'Month' means a calendar month i.e. any one of the twelve portions into which the conventional year is divided, or a period from any day in one month to corresponding day of the next calendar month.
24. 'Officiate' means to carry out function and/or duties of the post on which another person holds a lien or of the vacant post on which no other teacher holds a lien;
25. 'Permanent Post' means the approved post, carrying a running definite scale- of pay, sanctioned without time limit;
26. 'Principal' means a Head of the college appointed by or under the Memorandum of Association and approved by the Board of Management and shall also include Director or Dean.
27. 'Provident Fund ' means the staff Contributory Provident Fund established by the University as per the Government of India Provident Fund Rules;
28. 'Registrar' means the Registrar of the University;

29. 'Salary' means total monthly emoluments drawn by the teacher and includes pay and allowances admissible, from time to time.
30. 'Scale of Pay' means running scale of pay which subject to any conditions prescribed in these Bye-laws, rises by periodical increments from a minimum to maximum;
31. 'Scheduled Castes' means such castes, races or tribes or part or group within such castes, races or tribes as are deemed to be scheduled castes, under Article 341 of the Constitution of India.;
32. 'Scheduled Tribes ' means such tribes or tribal communities or parts or groups within such tribes or tribal communities as are deemed to be scheduled tribes under Articles 342 of the Constitution of India;
33. 'Scheme' means the academic programmes approved by the competent Authority or by the funding agency and shall include the programmes funded by the other agencies like UGC, MCI, DCI, AICT, CSIR, DST, NOTE, etc.
34. a) 'Selection Grade' means the selection grade sanctioned to the teacher as per the recommendations of the University Grants Commission and accepted by the University, from time to time;  
b) 'Senior Scale' means the senior scale sanctioned to the teacher as per the recommendations of the University Grants Commission and accepted by the University, from time to time;
35. 'Subsistence Allowance' means monthly emoluments paid to the teacher, who is not in receipt of pay or leave salary during the period of his suspension.
36. 'Substantive Appointment' means an appointment made in a substantive or a permanent capacity in a permanent post which is clearly vacant;
37. 'Substantive Pay' means the pay personal pay or emoluments classed as pay, these Bye - laws to which the teacher is entitled, on account of a post to which he has been appointed substantively or by reasons of his substantive position in the cadre; but does not include special pay;
38. 'Teacher' means teacher appointed in the colleges by the University under the provisions of the Memorandum of Association; Provided that, the term teacher shall include full time as well as part time teacher, honorary teacher, adjunct teachers, and such other teachers who are designated as the academic non-vocational staff by the University Grants Commission, from time to time; Provided further that, this definition of teacher shall apply merely in the context of the service conditions only;
39. 'Temporary Appointment' means an appointment made on purely either against permanent post, for not more than twelve months' temporarily vacant post or a tenure post or against a temporary position;
40. 'Tenure Post' means a post which the teacher may not hold for more than a limited time without reappointment or a temporary post which is sanctioned/created for a specified limited period only;
41. 'University Grants Commission' means the University Grants Commission established under the University Grants Commission Act, 1956;
42. 'Vice-Chancellor' means the Vice- chancellor of the University;
43. 'Working Hours' means the working hours prescribed by the University Grants Commission and accepted by the University for the teachers working in the colleges, from time to time.

## CHAPTER - II CLASSIFICATION AND RECRUITMENT

### **YU 10: Classification**

The teachers shall be classified into following categories:

1. Principal/ Dean or Director
2. Professor
3. Reader/Associate Professor
4. Assistant Professor
5. Lecturer in Selection Grade;
6. Lecturer in Senior Grade;
7. Lecturer;
8. Tutor/Resident
9. Librarian,
10. Director of Physical Education

### **YU 11: Qualification**

The qualifications for the various categories of the teachers shall be as recommended by the University Grants Commission and/or respective Central Council and accepted by the University, from time to time.

### **YU 12: Workload**

The Workload of the teachers shall be as recommended by the University Grants Commission and/or respective Central Council and accepted by the University, from time to time.

### **YU 13: Recruitment**

Recruitment of the teachers shall be as per the procedure laid down in the Rule 12 II (a) and 12 II (b) of the Memorandum of Association.

### **YU 14: Procedure**

Every post of a teacher to be filled in by selection, shall be duly and widely advertised, according to the draft approved by the Board of Management to get here with the minimum and desirable qualification, as prescribed, the scale of pay and number of posts to be reserved for the members of the socially disadvantaged class of the society and women candidates; reasonable time to be determined by the Board of Management, normally which shall not be less than thirty days, within which the applicants may, in response to the advertisement.

After the last date is over, the Registrar shall prepare the summary of each candidate with his/her date of birth, qualification, experience, caste, present emoluments, etc., and shall place the same before the Scrutiny Committee.

### **YU 15: Scrutiny**

There shall be a Scrutiny Committee to scrutinize the applications received for the post(s) of teacher(s).

1. The Scrutiny Committee for each subject shall consist of
  - a. Principal of the Concerned College;
  - b. Head of the Concerned Department
  - c. Registrar, Convener

The committee shall adhere to the rules and regulations as specified in the advertisement/UGC regulations.

2. The Scrutiny Committee shall verify all the documents submitted by the candidates and after verification of the documents, shall recommend the names of the candidates to be called for the interview.
3. Ordinarily, the suitable and qualified candidates with higher merit shall be invited for the interview and shall not exceed the following ratio and number of posts to number of candidates: 1:8,2:14,3:20,4:26,5:32, and for more than five vacancies, the candidates invited shall be up to five candidates per vacancy to fill in.
4. The date of the meeting of the Selection Committee shall be fixed so as to allow a notice of at least thirty days of such meeting; being given to each candidate; and the particulars of each candidate shall be sent to each member of Selection Committee so as to reach him at least fifteen days before the date of the Selection Committee meeting if provided, if there is urgency and the circumstances dictate, early action is needed, the candidates and the selection committee members may be contacted electronically within three days for selection of candidates.

#### **YU 16: Selection Committee**

There shall be a separate selection Committee for each category of the teachers. The Constitution of such Selection Committee shall be as per the provision made in the Rule 12(II) (a) and 12 (II) (b) of the Memorandum of Association.

#### **YU 17: Temporary Appointment**

In exceptional circumstances and in the interest of the students and teachers, the Vice-Chancellor shall make the temporary appointment against the permanent post for the period not exceeding one academic year.

Provided that, the mode of selection and constitution of Selection Committee for such post shall be as per the Rule 12(II) (a) and 12(II)(b) of the Memorandum of Association.

#### **YU 18: Placement/Promotion of Teacher**

1. The teacher shall be eligible for placement/promotion to Asst. Professor, Associate professor/ Reader, Professor, according to regulations by concerned national regulatory bodies viz., MCI, DCI, INC, UGC, RCI etc. depending on the category under which promotion is to be accorded.

*(Amended on BOM dtd.08.10.2014)*



2. There shall be a Screening Committee to assess eligible teachers for placement/promotion to Asst Professor, Associate Professor/Reader and Professor as the case may be. The constitution of such Committee shall be:
  - a. Vice-Chancellor (Chairman)
  - b. Principal of the concerned college.
  - c. Head of the concerned department.
  - d. One subject expert not below the rank of Professor nominated by the Vice Chancellor.
3. The Registrar shall constitute the Committee three months prior to the date on which the teacher becomes eligible for placement/promotion in the appropriate scale or grade.
4. The Registrar shall prepare the case(s) of eligible teachers(s) with all the documents and place before the Screening Committee for its consideration.
5. The Screening Committee, after scrutinizing the proposal of the eligible teacher, shall recommend the same to the Board of Management for its approval. Provided that, while scrutinizing the proposal of the teacher, the Screening Committee shall go through documents like service book, performance appraisal reports, research publications, projects and such other documents as may be required as per the norms. The Registrar, after receipt of the approval of the Board of Management, shall inform the teacher concerned in writing, about his placement/ promotion and shall make the necessary entries in the Service Book.

**YU 18 (A) Promotion of Teaching Staff in the absence of vacancy**

1. The teaching faculty of all the constituent units of Yenepoya (deemed to be University) shall be eligible for promotion in the absence of vacancy as per the criteria mentioned in Appendix XII to XXI.
2. The Registrar shall constitute the Committee three months prior to the date on which the teacher becomes eligible for placement/promotion in the appropriate scale or grade.
3. The Registrar shall prepare the case(s) of eligible teachers(s) with all the documents and place before the Screening Committee for its consideration.
4. The Screening Committee, after scrutinizing the proposal of the eligible teacher, shall recommend the same to the Board of Management for its approval. Provided that, while scrutinizing the proposal of the teacher, the Screening Committee shall go through documents like service book, performance appraisal reports, research publications, projects and such other documents as may be required as per the norms.
5. The Registrar, after receipt of the approval of the Board of Management, shall inform the teacher concerned in writing, about his placement/ promotion and shall make the necessary entries in the Service Book.

*(Amended at BOM No. 53 - dtd. 23.03.2021)*

**YU 19: Vacation and Examination Work of University—**

1. The University, at the end of every academic year shall prepare the academic calendar for the next academic year, which shall include the first and last day of each term, public holidays, dates of main and supplementary theory and practical examinations, internal / sessional examinations, sports and cultural events etc.

2. The academic non-vocational staff shall not be entitled to either summer or winter vacation. However, they shall be eligible for 30 days earned leave during the academic year.
3. The teacher shall be ordinarily entitled to 60 days vacation during the academic year i.e. 30 days during winter and 30 days during summer, provided he/she is working in a department not related to or not required for the smooth functioning of the University.
4. Every vocational teacher shall be expected to undertake such work in the University during the vacation which is relevant to his duties such as examination, extension activities etc. which may be assigned to him by the Head of the Department, Principal and the Vice-Chancellor, from time to time.
5. Every teacher during the vacation shall assist the University in smooth conduct of the examinations.
6. During the vacation, if the teacher is detained for non-remunerative work in connection with University, activities such as youth festival, continuing education programmes, NSS, or any other work assigned by the Vice-Chancellor/Principal/Head of Department then he shall be entitled to compensatory holidays to the extent of one third of the days spent on duty during the vacation. Provided that, the teacher should avail such compensatory holidays in the same academic year.

## CHAPTER-III APPOINTMENTS

### **YU 20: Appointment**

1. The Appointing Authority shall appoint the teacher(s) strictly as per the recommendations of the Selection Committee constituted under **Rule 12(II)(b)** of the Memorandum of Association and after the approval of the Board of Management.
2. The appointment order shall be issued under the signature of the Registrar and in the proforma, given in the *Appendix No —I*
3. The teacher appointed on a post shall produce a relieving certificate, service book and last pay certificate from his previous employer, if any at the time of joining of the services.
4. The teacher appointed on a post shall produce a Medical Fitness certificate from the competent medical Authority, within a month after joining the post.
5. The teacher appointed on a post shall produce the authentic proof of the date of birth before joining the post.

### **YU 21: Services**

1. The teacher may be required to sign a contract in the form prescribed in the *Appendix No-III* at the time of joining his duties in the college.
2. The service of the teacher shall commence from the date on which he joins the duties before 12 noon, otherwise from the next date.
3. The service of the teacher on leave, in Foreign Service or on deputation, shall commence from the date he assumes charges before 12 noon, otherwise from the nextdate.
4. The service of the teacher shall cease from the date on which he relinquishes the post after 12noon.
5. If the teacher expires while in service, he shall be deemed to have ceased to be in service from the next day, irrespective of the hour at which he dies.

### **YU 22: Probation**

1. The appointment to a permanent post by selection shall be on probation for a period of two years, extendable by two periods of not more than six months each. Provided when a distinguished academician is appointed by invitation or negotiation, the probation clause may not be applicable.

Resolved to authorized selection Committee to modify or waive the probation period

(Amended on 2.07.2011 BoM )

2. During the period of probation, the teacher shall comply with conditions of probation as prescribed under these Bye-laws.
  - a. The Principal of the college shall be the Reviewing Authority. The concerned Head of the Department shall be the Assessing Authority under whom the teacher on probation is working. The Head of the Department Shall submit the self – assessment report of the teacher, with his remarks to the Reviewing Authority at the end of one year from the date of joining. The Reviewing Authority shall forward the assessment report to the Accepting Authority with his remarks (as specified in YU 25(3)).

- b. Deficiencies, adverse remarks, remarks of appreciations, if any, mentioned in the self-assessment report shall be communicated, by the Accepting Authority in writing to the teacher for his guidance and improvement, within three months.
  - c. The self-assessment report for the second year shall be submitted to the accepting authority, at least three months prior to the expiry of the period of probation with specific recommendations of confirmation or otherwise.
3. On the basis of satisfactory performance of his/her services as assessed by appointing authority, the appointing authority may declare
  - a. Probationary period as satisfactorily completed  
OR
  - b. Extend probation period  
OR
  - c. Terminate services of the employees
4. If the teacher, on probation, avails leave without pay/ maternity leave, his/her period of probation shall be deemed to have been extended to that extent.

*(Amended on BOM dtd.08.10.2014)*

#### **YU 23: Substantive Appointment**

1. The teacher appointed against substantive vacancy of approved permanent post shall be deemed to be confirmed in the service after satisfactory completion of probationary period.
2. The Appointing Authority may give a provisional substantive appointment to the teacher against the post on which another teacher holds a suspended lien and shall cease to be on such appointment as soon as the teacher holding suspended lien joins the post.
3. In case, a vacancy occurs for a temporary period, or is about to be filled in on a regular basis by selection , the Appointing Authority may appoint any teacher who fulfils the conditions of educational qualifications for a period not exceeding one year, as provided in the Memorandum of Association.

#### **YU 24: Duties**

1. It shall be the duty of every teacher lawfully to discharge the functions and perform the official task assigned to him in accordance with the Memorandum of Association. Bye-laws and the orders issued there under, from time to time. The teacher shall comply with the obligations attached to the post he holds and perform the specific functions, shall meet the specific norms of behavior and avoid prohibited conduct.
2. The period spent on duty as incorporated in these Bye-laws shall be the duty and shall include.
  - a. Service as a probationer.
  - b. A course of instruction or training authorized by the Principal or the Vice-Chancellor.
  - c. The period spent on attending the seminar, conferences, etc. within and outside the country.
3. Subject to the provisions of the Memorandum of Association and Bye-laws, the duties of the teachers shall be as specified in the Bye-laws No. YU 79.



4. The Appointing/Competent Authority in addition to these duties may assign specific duties and functions to the teacher as and when required and the teacher shall comply.

#### **YU 25: Assessment**

1. The Assessing Authority shall submit the self-assessment report form as prescribed in the Appendix No. III for the academic year ending on 15<sup>th</sup> April, in respect of the teacher placed under his control. If the teacher has worked under the Assessing Authority for part of the year, the Authority shall write the report for such period.
2. The self assessment report shall be reviewed by the Reviewing Authority as prescribed under the Bye-law YU 47 conduct of the teacher
3. The following shall be the assessing and reviewing authorities:

Sl. No	Category	Assessing Authority	Reviewing Authority	Accepting Authority
a)	Principal	Vice Chancellor	Vice-Chancellor	Vice-Chancellor
b)	Head of the Dept	Principal	Vice-Chancellor	Vice-Chancellor
c)	Professor/ Reader/ Lecturer	HOD	Principal	Vice-Chancellor

4. The remarks in the self assessment report, either adverse or outstandingly good, shall be brought to the notice of the teacher, in writing, within three months. The adverse remarks not duly communicated to the teacher shall be disregarded.
5. The teacher, who has been communicated adverse remarks, may within thirty days of receipt, represent his/her case in writing to the Reviewing Authority. The Reviewing Authority, in consultation with the Assessing Authority, may recommend to expunge or retain such remarks and the Accepting Authority's Decision shall be final and shall be recorded in writing.
6. The self-assessment report of the teacher shall be the basis for determining the merit. The record of the service shall be deemed to be satisfactory if there is nothing adverse in the report for the previous three reporting years. Adverse remarks not duly communicated in writing to the teacher within three months shall be disregarded for the purpose.

#### **YU 26: Service Book**

1. The Service Book, as prescribed, shall be maintained by the Appointing Authority, for every teacher appointed substantively or in officiating capacity on a permanent post or appointed on temporary basis to a post which is not of a purely temporary nature.
2. The service book shall contain the record of service of each teacher covering all essential events in his official career such as (a) date of birth (b) caste (c) marks of identification (d) permanent address (e) first appointment, (f) subsequent appointment(s) or transfer(s) to higher, equivalent or lower grade, (g) substantive or officiating nature of appointment (h) the scale of pay applicable (i) basic pay. j) Increment (s) sanctioned (k) stoppage of increment; for any reasons(s), (l) punishment with relevant offense or misconduct, (m) leave(s) except casual leave, granted from time to time, (n) conferences/seminars attended, (o) such--other relevant entries.

3. The date of birth of the teacher shall be carefully recorded in the service book only at the time of joining the service and shall be verified within reference to the documentary evidence such as S.S.L.C. certificate or extract of birth register from appropriate Authority, such as municipal council or corporation, village record. However, any other document such as horoscope, an affidavit or medical certificate shall not be considered as an authentic document for this purpose.
4. Whenever the teacher is reduced to a lower rank, removed or dismissed from the service or suspended from employment, the action and reasons thereof shall be briefly recorded in the service book with due authentication by the Competent Authority.
5. The Competent Authority shall keep the service book in safe custody and shall not allow it to remain with the teacher.
6. The teacher may peruse the entries in his service book to ensure that the service record is correctly maintained. All the entries shall be shown to the teacher at the end of every year and signature be obtained thereon.
7. A duplicate copy of the service book may be supplied to the teacher on specific request.
8. The Competent Authority may periodically verify the service book of each teacher for correctness of entries.
9. Hard copy of the Service Book of the teacher may be retained for 5 years after the teacher ceases to be in service.

*(Amended on BOM dtd.08.10.2014)*

1. The Competent Authority may retain the self-assessment report and other reports of the teacher in a separate confidential file. Any letter of appreciation for good work or memo for misdemeanor, order granting additional increment(s) or promotion, order inflicting penalty or punishment, shall be maintained in such a confidential file.
2. A personal file shall be maintained for every teacher immediately on his appointment and all orders and papers in connection with his official record shall be properly maintained therein.

#### **YU 28: Seniority of the Teacher**

The Seniority of the teachers in the University shall be determined in the following manner:

1. The Professor shall be senior to the Reader/Associate Professor and the Reader / Associate Professor shall be senior to the Assistant Professor/lecturer.
2. The seniority of the Professors, Associate Professors or Readers and Asst Prof/Lecturers in the department shall be decided on the basis of their date of joining their duties in the University in the respective cadre.

#### **YU 29: Incapacity**

The teacher shall be considered to be incapacitated to discharge his duties either on physical or mental grounds for the reasons stated below or otherwise as may be determined by the Competent Medical Authority.

1. The teacher may be considered to be physically incapacitated
  - a. Due to an accident, resulting in loss of limb or being seriously injured, etc. so that he is unable to perform his duties.
  - b. Due to severe illness such as paralysis, cancer, leprosy, AIDS etc. making him unable to perform his duties.

The teacher may be considered mentally incapacitated to render his services, if-

1. He has turned insane.
2. He is not capable of meeting with the requirement of the post to which he is appointed, despite his mental equilibrium having been properly set.

Wherever teacher is to be declared to be incapacitated either physically or mentally, his case shall be referred to the Committee constituted by the Competent Authority.

Constitution of such Committee shall be:

- a. Principal -Chairman
- b. Three registered medical practitioners with postgraduate degrees to be nominated by the Vice-Chancellor.
- c. Head of the Department the Committee shall scrutinize the case of the teacher and shall submit its report to the Appointing Authority.

After receipt of the report, the Vice- Chancellor shall forward the report to the Board of Management for its approval.

After receipt of the report from the Board of Management, the Vice- Chancellor shall take the final decision.

The teacher declared as incapacitated either physically or mentally shall be rehabilitated /terminated on the basis of the recommendations by the committee.

*(Amended on BOM dtd.08.10.2014)*

## **CHAPTER - IV PAY AND ALLOWANCES**

### **YU30: Pay**

1. The teacher shall, unless otherwise directed, be entitled to receive the pay, for the services rendered in the scale of pay prescribed for the cadre in which the teacher is appointed, with effect from the commencement up to the cessation of the service.
2. The scales of pay for the teachers of the various cadres working in the colleges shall be as recommended by the University Grants Commission and respective Central Council and accepted by the University, from time to time.

### **YU31: Pay on Placement in Higher Grade/Scale**

1. On placement in substantive post carrying a higher scale of pay, the initial pay of the teacher in the higher post shall be fixed at the minimum of the higher scale of pay or at the stage next above the pay notionally arrived at by increasing his pay in the lower post by one increment at the stage at which such pay reached, whichever is more.
2. If the teacher has reached the maximum of the scale of pay on the lower post, his notional pay for the purpose of this Bye -Law shall be arrived at by increasing that pay by adding an amount equivalent to the last increment.
3. If the teacher placed in higher post / scale happens to draw less pay than his junior, placed in the said post / scale, the pay of the senior teacher shall be stepped up to a figure equal to the pay of his junior teacher.

### **YU 32: Pay on Reversion**

1. The teacher on reversion shall draw pay in the lower scale of pay, not less than that which he would have drawn, had he not been so placed in higher scale.
2. If the teacher is reverted by way of major punishment on account of misconduct, the Competent Authority may-fix his pay at any lower stage in the lower scale of pay -under these, Bye-laws. Provided that, the subsistence allowance' already paid to the teacher shall be fully recovered either from the pay and allowances, as the case may be or from the leave payable to him, if it happens to be in excess of his revised total emoluments, to the extent of excess pay only.
3. When the teacher is reverted on account of misconduct to a post carrying lower scale of pay, and is subsequently reinstated, his previous service in the post from which he was reverted, shall count for increments unless the Competent Authority declares that it shall not be so counted either in whole or in part.

### **YU 33: Increment**

1. The teacher, having his pay on the scale of pay, shall draw an increment every year unless it is withheld. The benefit of increment falling due on any date of the calendar month shall be extended from the first date of that calendar month, without affecting the date of increment(s).
2. The Competent Authority while withholding increment shall expressly state in the order the period for which increment has been withheld, and whether it shall be inclusive or exclusive of any interval spent on leave before the period is completed.
3. If the teacher is placed in a higher grade I post, he shall draw the increment on completion of full period for increment in the higher grade post and higher scale of pay.



4. The service rendered, by the teacher on probation, in the circumstances mentioned below, shall count for increment in the scale of pay:
  - a. The teacher on probation shall draw the first increment on completion of twelve months.
  - b. He shall draw the second increment only on completion of the period of probation satisfactorily, irrespective of the period from the date of first increment.
  - c. The first and/or second date(s) of increment shall be extended by the period for which the teacher on probation has availed leave without pay, except the casual leave, in the intervening period(s).
  - d. The date on which the teacher completes the period of probation satisfactorily shall be the date of subsequent increment(s), unless the same is modified later due to some other reason such as revision of pay, period of extraordinary leave, etc.
5. The teacher on authorized leave shall draw the annual increment falling due, during the leave period, on the date due. However, he shall receive the effect on resumption of duty after expiry of leave, along with the arrears. The leave shall not have effect on the date of increment, except the extraordinary leave which is declared to have effect on the date of increment.
6. The Competent Authority may withhold, by an order in writing, the increment of the teacher if his conduct has not been found to be satisfactory, or his work has not been satisfactory. The Competent Authority while ordering the withholding of the increment shall state the period for which it is to be withheld and whether the withholding shall have effect on future increments.

**YU 34: Personal Pay**

The Competent Authority may grant personal pay to the teacher to save him from loss of substantive pay in respect of a permanent post, other than a tenure post, due to revision of pay or due to any reduction of such substantive pay other than as a measure of disciplinary action

**YU 35: Allowances**

1. The teacher working on a post in the scale of pay shall be entitled to allowances such as the dearness allowance, compensatory local allowance, house rent allowance, non - practicing allowance and such other allowances as may be approved by the University, from time to time.
2. For the purpose of calculating allowances which are related to pay, the term pay shall include only basic-pay.
3. Dearness Allowance may be drawn during the period of any kind of leave, except extraordinary leave.
4. The house rent allowance shall be admissible to teachers at the places and at the rates as sanctioned by the University, from time to time.

**YU 36: Subsistence Allowance:**

1. The teacher under suspension shall be paid the subsistence allowance at the rate of half the pay for a period of the first three months, and at the rate of full pay thereafter, if the period of suspension is prolonged, for reasons not directly attributable to the teacher and the allowances admissible thereon, from time to time.

2. The teacher under suspension shall be paid the subsistence allowance at the rate of half the pay and the allowances thereon, if the period of suspension is prolonged for the reasons directly attributable to the teacher.
3. The teacher shall furnish every month the following certificate before he is paid the subsistence allowance:

***"I certify and declare that I did not engage myself in any private employment, trade or business during the Period....."***

Provided that, if the Competent Authority suspects genuineness of the certificate, he may have the same duly verified, if necessary through the Police authorities, and if the teacher is found to have furnished false certificate it shall be construed as a misconduct and shall be an additional charge in the enquiry against him.

4. Any other compensatory allowance Payable to the teacher shall be subject to the extent and the conditions as may be prescribed by the Competent Authority.
5.
  - a. If the teacher, under suspension, is undergoing a trial in a criminal court and departmental enquiry under these Bye-laws, he shall be provided with the subsistence allowance under clause (1) or (2) above.
  - b. If the teacher under suspension is convicted by the competent court and sentenced to imprisonment, the subsistence allowance shall be reduced to a nominal amount of Re. 1/- (Rupee One) per month till he undergoes punishment or till he is deemed to be in service of the University, whichever is earlier.
  - c. If the teacher under suspension is acquitted on appeal he shall draw subsistence allowance at the normal rate under clause (1) or (2) from the date of acquittal till the disposal of inquiry under these Bye-laws.
6. If the teacher under suspension attains the age of superannuation, he shall deem to have been retired and shall not be entitled to any subsistence allowance. The teacher shall be entitled to his own share of contribution but shall not be entitled to the University share. The University share of CPF and the gratuity shall be paid to him after final decision of proceedings against him.
7. If the teacher under suspension is exonerated and/or it is found that the suspension was wholly unjustified, the teacher shall receive full pay and allowances to which he would have been entitled had he not been so suspended.
8. When the teacher under suspension is reinstated, after undergoing the punishment / penalty under these Bye-laws unless the Competent Authority has already passed such orders at the time of inflicting the punishment, the Competent Authority may by order state:
  - a. Whether the said period be treated as duty leave or leave not due, and
  - b. The nature of pay and allowances to be paid-for the period.

#### **YU37: TA & DA**

The teacher required to undertake tour Allowance in the course of discharge of his duty, shall be entitled to travelling and daily allowances as prescribed by the Board of Management, from time to time.

## CHAPTER-V LEAVE

### YU 38: Leave

1. The teacher shall be entitled to the leave, generally, in proportion to the period of service/duty and of the kind specified herein below. However, the leave cannot be claimed as a matter of right.
2. The teacher may be granted leave only on his request. The teacher shall not be compelled to proceed on leave, except on disciplinary grounds.
3. The Competent Authority may sanction or refuse the leave applied for, but shall not alter the nature of leave, except with the request / consent of the teacher.
4. The Competent Authority may not grant leave to the teacher so as to deplete the strength of the department below the essential minimum.
5. The teacher may combine one kind of leave with another, except casual leave, subject to the limit of aggregate period of absence as may be prescribed under these Bye-laws.
6. Application for leave on medical ground shall be accompanied by a certificate of Medical Authority, indicating the nature and probable duration of illness. The teacher returning from leave on medical ground shall produce a certificate of fitness from the same Medical Authority.
7. If the teacher frequently applies for medical leave with short intervals, he may be referred to the Medical Board to examine the state of his health, the period of recovery and whether he would be fit for duty after the rest and treatment.
8. The teacher, on leave, shall not engage himself in any other employment, trade or business, either full-time or part-time except casual literary work or public service of casual nature.
9. Ordinarily, the teacher shall resume his duties immediately after the period of leave sanctioned, otherwise it shall be construed as overstay and may entail refusal of leave or leave salary and may be treated as misconduct unless the Competent Authority condones the irregularity, for reasons to be recorded. The teacher shall not be permitted formally to join the duties at the end of leave with the intention of taking leave again within a few days.
10. The teacher discharged or removed, on account of misconduct, if reappointed, the leave to his account prior to the date of ceasing to be in service shall lapse and shall not be entitled to claim leave in respect of service rendered prior to his discharge, removal, as the case may be.
11. The teacher appointed on contract basis in scale of pay shall be entitled to leave in accordance with the terms of the contract entered into by him with the Competent Authority.

### YU 39: Leave Sanctioning Authority

The following shall be the Competent Authority to sanction leave under these Bye-Laws:

No.	Category	Kind of Leave	
1.	Principal leaves	All kinds	Vice-Chancellor
2.	Head of the department	Casual leave	Principal
3.	All teachers	Casual leave	Principal

4.	All teachers	All kinds of leaves except Casual leave	Vice-Chancellor
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Provided that, the Competent Authority may further delegate to other subordinate officers the power to sanction a particular kind of leave.

#### **YU 40: Casual Leave**

1. The teacher shall be entitled to fifteen days casual leave in an academic year or as prescribed by the University Grants Commission or Central Councils and accepted by the University, from time to time.
  - a. The teacher shall obtain permission for casual leave ordinarily before the day from which it is required. In exceptional circumstances where application of casual leave cannot be submitted before it begins, the teacher shall apply for *ex-post-facto* sanction within three days after resuming on duty.
  - b. In case the teacher is unable to attend his duty for reasons of natural calamity, the Competent Authority shall sanction the same as casual leave.
  - c. The teacher shall be entitled to not more than five days casual leave at a time. The Sunday and/or public holidays, so also a holiday or a series of holidays, are permitted to interpose between the period of casual leave. However, the total period of casual leave and holidays enjoyed in continuation at one time shall not exceed eight days.
  - d. Casual leave cannot be combined with any other kind of leave except duty leave. (It is proposed to rename duty leave as OOD)
2. Account of casual leave and special casual leave availed of by the teacher shall be maintained separately.
3. The Competent Authority may refuse casual leave if it is requested on flimsy pretext. The Competent Authority shall have the power to grant casual leave in proportion to the period of the academic year and the casual leave availed of until then. The Competent Authority may grant leave without pay of shorter duration if no casual leave is available to the teacher.

#### **YU 41: Earned leave:**

- 41 The non vocational employee shall be entitled to earned leave for the period spent on duty, at the rate and other details as prescribed by the Board of Management from time to time.
  - 41.1 Employees on probation are entitled for 16 days for the first year & 30 days for the second year.
    - 41.1.2 The regular & confirmed employees are entitled for Earned Leave to the extent of 30 days every year.
  - 41.2 Earned leave of 15 days can be encashed annually or availed and remaining 15 days can be availed out of which 10 days can be carried forward to a maximum of 100 days.
    - 41.2.1 Earned leave above 90 days shall automatically lapse. However, existing earned leave of 240/180 days will be to the credit of the respective employee which can be availed subject to the approval/sanction from the competent authority but cannot be encashed.



- 41.2.2 Accumulated earned leave can be adjusted against the notice period at the time of resignation for all the employees.
- 41.2.3 Teaching staff are permissible to encash the earned leave up to 100 days if she / he has put 10 years of service at the time of resignation.
- 41.3 Accumulated leave can be availed before retirement/superannuation.
- 41.4 Calculation for encashment:  
Teaching staff: Basic pay + D.A. + Academic pay  
Non teaching staff: Basic pay + D.A
- 41.4.1 Term for encashment: based on the date of joining may be considered.
- 41.4.2 Application for surrender of leave encashment: 7 days later from the date of application.
- (Amended on BOM dtd. 17/02/2018)*
- 41.5.1. Teaching employees appointed before January 2019, are not entitled for Earned Leaves (EL) in the first year of probation, but are entitled for 15 earned leaves in the second year of probation. However the same cannot be availed during probation and will be carried forward to next year and may be availed after completion of the probationary period. Teaching employees appointed from January 2019 onwards, shall not be entitled for any leave other than CL and RH during the probationary period.
- 41.5.2. The regular & confirmed employees are entitled for Earned Leave to the extent of 30 days every year.  
Earned leave of 15 days can be encashed annually or availed and remaining 15 days can be availed out of which 10 days can be carried forward to a maximum of 100 days.  
Earned leave above 100 days shall automatically lapse. However, existing earned leave of 240/180 days will be to the credit of the respective employee which can be availed subject to the approval/sanction from the competent authority but cannot be encashed.  
Employees can avail single EL when there is no other kind of leave in her/his credit.
- (Amended on BOM 53 dtd. 23/03/2021)*

**YU 41 A: Compensatory leave**

To be stopped with immediate effect for all routine types of work. However in case of works which do not come under the purview of routine nature, the employee to be compensated with certain remuneration to be recommended by the HOD and approved by the Principal, for constituent colleges and all others it is the Registrar of the University. This will not be applicable for employees who receive incentives /additional allowance.

The minimum duration should be 3 hours continuous work for considering remuneration.

The quantum of remuneration will be equivalent to ½ day's salary or in multiple thereof depending upon the duration.

While arriving at the compensation, Basic, DA and AGP in case of teaching staff will be taken into consideration.

The following categories of employees are not eligible for Compensatory off.

- Statutory Officers of the University.
- Deans/HODs.
- Faculty who are in charge of the Dept. /Section/Centre.
- Staff who are sanctioned fixed allowance or additional allowance for additional work.

*(Amended on BOM dtd. 17/02/2018)*

**41.B.** The minimum duration of work is six hours to claim a compensatory off.

When an employee works on a weekly-off or on a general holiday, a compensatory leave may be availed within 15 days from the date of working after approval from the concerned authority.

**The following categories of employees are not eligible for Compensatory off.**

- Statutory Officers of the University.
- Deans/HODs.
- Faculty who are in charge of the Dept. /Section/Centre.
- Staff who are sanctioned fixed allowance or additional allowance for additional work.

*(Amended on BOM -53 dtd. 23/03/2021)*

**BOM dt 17/02/2018- Combine existing clause YU 41 with YU 42 as Half pay leave:**

**YU 42: Half Pay Leave**

42.1 The teacher shall be entitled to leave on half pay to the extent of 20 days for every completed year of service.

42.1.2 The teacher shall not be entitled to leave on half pay during the first year of his service. The leave on half pay due may be granted to the teacher either on medical grounds or for private reasons. The leave requested on medical ground shall be supported by the certificate from the Medical Authority.

42.1.3 Provided that, the period of suspension, if any, finally treated as suspension shall be excluded for counting completed years of service for this purpose.

42.1.4 If the teacher is on leave on the day on which he completes a year of service, he shall be entitled to half pay leave without having to return to duty.

42.1.5 The teacher may, avail commuted leave on half pay at his credit on the following condition that, the commuted leave shall be debited to the account of leave on half pay at the rate of twice the number of days leave actually availed of.  
Accumulation of half pay leave: Accumulated to a maximum of 180 days per year equivalent to 90 days of commuted leave. The half pay leave/commuted leave cannot be encashed or adjusted towards notice period.

*(Amended on BOM dtd. 17/02/2018)*

42.2.1. Teaching employees appointed before January 2019 January, are not entitled for half pay leave/ commuted Leave in the first year of probation, but they will be entitled for 10 half pay leave/5 commuted leave in the second year. However the same cannot be availed during probation and will be carried forward to next year. The same may be availed after the completion of probation period.

42.2.2. Teaching employees appointed from January 2019 onwards, are not entitled for any half pay/ commuted leave during probation.

*(Amended on BOM dtd.53 23/03/2021)*

### **YU 43: Maternity Leave**

1. Only female employees who have less than two living children at the time of application shall be entitled to maternity leave.
2. Only female employees who are on probation or have been confirmed in service and who have put in at least 2 years service in the organization shall be entitled for 90 days of maternity leave with full pay.
3. The temporary female teacher who is appointed on probation and who has put in continuous service for a period exceeding one year, but less than two years, shall be entitled to maternity leave of ninety days, on half pay, which shall not be debited to her leave account.
4. The temporary female teacher with less than one year service shall not be entitled to maternity leave and the period of absence shall be treated as extraordinary leave.
5. The application for maternity leave shall be supported by a medical certificate with probable date of confinement.
6. The female teacher may avail other leave, including commuted leave, if she so desires, in continuation of the maternity leave, up to a maximum of sixty days without production of a medical certificate.
7. Leave under this Bye-laws shall be admissible in a case of miscarriage or abortion including medical termination of pregnancy, subject to the following conditions, namely:
  - a. The leave does not exceed forty-five days during the entire service;
  - b. The leave may be sanctioned to female teacher with not more than two living children;
  - c. After the medical termination of pregnancy, if female teacher requires rest for more than the leave admissible as per sub-clause (a) above, she can avail of the other leave due or not due;
  - d. The application for the leave is to be supported by a medical certificate.

*(Amended on BOM dtd. 22.01.2015)*

### **YU 43.1**

1. Only female employees who have less than two living children at the time of application shall be entitled to maternity leave of 182 days.

2. Only female employees who are on probation or have been confirmed in service and who have put in at least 2 years service in the organization shall be entitled for 182 days of maternity leave with full pay.
3. The temporary female employee who is appointed on probation and who has put in continuous service for a period exceeding one year, but less than two years, shall be entitled to maternity leave of 182 days, on half pay, which shall not be debited to her leave account.
4. A woman who legally adopts a child below the age of three months or a commissioning mother shall be entitled to Maternity Benefit for a period of 12 weeks from the date the child is handed over to the adopting mother or the commissioning mother as the case may be.
5. In cases where the nature of work assigned to a woman is of such nature that she may work from home, the employer may allow her to do so after availing of the Maternity Benefit for such period and on such conditions as the employer and the woman may mutually agree.
6. The employees who are covered by the ESI Scheme shall avail the benefit using the ESI Scheme.

**(Amended on BOM dtd. 17/02/2018)**

#### **YU 43.2**

1. Of the total maternity leave structure of 26 weeks (182 days), 8 weeks pre and 18 weeks post expected date of delivery can be availed for the first and second child.
2. 12 weeks of paid leave is eligible for third and fourth child, which can be availed 6 weeks prior and 6 weeks post expected date of delivery.
3. 12 weeks of leave in case of adoption (below the age of three years) and commissioning mother (Commissioning mother has been defined as the biological mother who uses her egg to create an embryo which is then planted in another woman) can be availed by the female employees

**(Amended on BOM – 53 dtd. 23/03/2021)**

#### **YU 44: Special Medical leave for Tuberculosis, Cancer, AIDS & Heart surgery**

The teacher shall be entitled to twelve months full pay leave, if he is suffering from extensive tuberculosis, advanced cancer or malignant diseases, advanced AIDS or serious brain ailment or such other diseases, which may be specified by the Competent Authority, from time to time and is undergoing treatment in a recognized clinic or under a specialist recognized by the University, from time to time.

- 44.1. Permanent employees, who have completed the probation, shall utilize their leave at credit for all those medical conditions other than mentioned above. Temporary employees are eligible for 14 days of leave on a case by case basis with prior approval of the Vice Chancellor

**(Amended on BOM – 53 dtd. 23/03/2021)**



#### **YU 45: Special Casual Leaves**

- a. The teacher may be sanctioned special casual leave for attending conferences, seminars, workshops, symposia organized by the academic bodies and examinations of other Universities which are approved by the University, from time to time. Provided that, such leave shall not exceed fifteen days in a year.
- b. Special casual leave not exceeding fifteen days in a year may also be sanctioned to teachers working in radiation hazardous departments/areas of the University, subject to certification by Competent Authority.

#### **YU 46: Study Leave**

The teacher shall be eligible for full pay study leave in the following manner:

1. The study leave to the teacher shall be sanctioned by the Board of Management on the recommendation of the Vice-Chancellor.
2. The study leave with full pay may be granted to the teacher who is confirmed in his post and who has teaching experience of not less than ten years.
  - a. Provided that the teacher who once avails study leave shall not be eligible for such a leave again unless he works for the period of ten years after availment of the study leave.
3. The study leave at the discretion of the Board of Management, shall be sanctioned to the teacher for undertaking specialized training or research within India or abroad in his subject which shall be useful to the teacher and to the University;
  - a. Provided that, such study leave sanctioned to the teacher, shall not be more than twenty four months during the entire service;
  - b. Provided further that, if study leave is sanctioned to the teacher, then no substitute appointment shall be made against such-vacancy and work load of such teacher shall -be equally-- distributed amongst the teachers working in the Department.
4. The teacher, for study leave, shall apply at least six months in advance to the Registrar, with the details such as nature of studies to be undertaken, duration, permission letter of the Authority where the teacher intends to work etc., through his Head of the Department and Principal, who will make the alternative arrangements for his teaching work,

Provided that under special circumstances late application may be considered where it was not possible to apply before 6 months or it is in the interest of the institution.

5. If the teacher is awarded a short term fellowship by University Grants Commission or any other funding agencies within India or abroad; he shall be eligible for full pay study leave subject to second provision of the clause (3) above.
6. The study leave shall not be granted to more than one teacher in a department at a time.
7. The teacher, who is granted study leave, shall enter into an agreement to serve the University for at least ten years after the completion of study leave.
8. The teacher shall refund the salary to the University, earned during the period of the study leave, if he does not rejoin his duties immediately after availing the study leave, and does not comply with the terms and conditions as laid down in the agreement.
9. The study leave granted to the teacher shall not be debited to any leave account.

**In deserving cases the Vice Chancellor is authorized to grant Study Leave up to 6 months**  
*(Amended vide BoM 19 dated 22.07.2011)*

In deserving cases the Vice Chancellor is authorized to grant leave—up to six months /and be reported to the BoM for ratification. Beyond six months matter should be brought before the BoM.

*(Amended vide BoM 1 dt. 15.10.2011)*

**YU 46 (A): Ph.D Leave**

The part time (Internal) candidates shall work under the guide directly. The candidates can avail 30 days of study leave for instruction, discussion, etc., during the prescribed period of research work subject to approval of the University. This leave can be availed to a maximum of 10 days per year not exceeding ten days at a time, subject to certain conditions laid down by the University.

I Year	10 days
II Year	10 days
III Year	<u>10 days</u>
TOTAL	30 days

Application for sanction of study leave shall be submitted to the Registrar well in advance through proper channels.

Approved with adding

In lieu of this study leave facility for the Ph.D program, candidates who avail this leave shall be required to give an undertaking to serve the institution for a period of 2 years after completion of their Ph.D.

*(Amended on BOM dtd. 17/02/2018)*

## CHAPTER VI

### CONDUCT, DISCIPLINE AND APPEALS

#### **YU47: Conduct**

1. The teacher shall be at the disposal of the college for full-time and shall serve in such capacity and at such place, as he may, from time to time, be directed.
2. The teacher shall conform to and abide by the provisions of the Memorandum of Association and Bye-laws. The teacher shall also observe, comply with and obey all orders and instructions which may, from time to time be given to him by the Vice-Chancellor and / or Board of Management.
3. The teacher shall, at all times maintain absolute integrity, show devotion to his profession and shall do nothing which is unbecoming of a teacher.
4. The teacher shall extend utmost courtesy and attention to all persons with whom he has to deal in the sphere of his duties. He shall strive hard to promote the interest of the University.
5. The Teacher Shall Not, without the express sanction of the Competent Authority, ask for or accept contribution to or otherwise associate himself with the raising of funds or other collections in cash or otherwise for his own benefit.
6. The teacher shall not accept or permit any member of his family or any person on his behalf to accept any gift in cash or in kind for his own benefit from any person including another teacher or employee for work to be done in connection with the business of the University.
7.
  - a) The teacher shall seek prior permission of the Competent Authority before applying for a job, post or scholarship outside the University. The teacher shall send the application through the proper channel.
  - b) The teacher shall seek prior permission of the Competent Authority before applying for any course of study leading to diploma, degree, certificate, etc. and shall not enter upon a course of studies or appear for any examination conducted by the University or other bodies, without such permission.
8. The teacher shall not, without prior permission of the Competent Authority, absent himself from his duties. In the circumstances or reasons beyond his control, he shall intimate or cause to intimate to Competent Authority within five days from the first date of absence,--failing, which the absence may be treated as leave without pay.
9.
  - a) The teacher or his relative shall neither bid directly or indirectly, at any auction of any property of the University nor submit any tender for any supply to the University
  - b) The teacher or his relative shall not use the property of the University including the residential accommodation for conducting any trade or business, coaching classes, private practice, tuition, occupation or for any other purpose.
  - c) The full-time teacher shall not engage himself in private practice or any trade, business or any other occupation which is not part of his duties as prescribed under these Bye-laws.
10. The teacher shall not engage himself in conducting private coaching classes or tuition, guidance imparting instructions leading to any certificate, diploma or degree courses.
11. The teacher shall not write guides, notes for circulation and question and answers etc.
12. The teacher shall not contest any election except university elections without prior approval of the Competent Authority.

#### **YU 48: Misconduct**

The breach of any of the provisions of the previous Bye-laws, or any one or more of the following on the part of teacher shall be deemed as misconduct and include:

- a) any action by the teacher contrary to the provisions prescribed in these Bye-laws;
- b) refusal to accept charge-sheet, order or other communication served according to the Bye-laws;
- c) obtaining employment in the colleges, by misleading or by misrepresenting the facts;
- d) misappropriation of any amount and/or movable and immovable property of the University or college;
- e) willful and persistent negligence of duty;
- f) incompetence;
- g) involvement in non-academic activities such as writing guides, likely questions, questions and answers, etc. directly or indirectly;
- h) Participation in private coaching classes, directly or indirectly.
- i) Indulging in or promoting unfair practices in the conduct of examination;
- j) theft, fraud or dishonesty;
- k) willful or negligent damage of the property, of the college and/or University;
- l) any action, involving moral turpitude and attracting conviction in court of law;
- m) attending the duties in an intoxicated state and committing nuisance during the working hours;
- n) misbehavior with students, another teacher, or member of a public;
- o) insubordination;

*Explanation: Willful negligence of duty shall among other things include the following:*

- a. *dereliction of duties like not engaging the allotted classes, clinics, practicals or not completing the prescribed syllabi under circumstances not beyond his control*
- b. *Negligence of academic or extra-curricular or co-curricular duties assigned to the teacher by the Principal and Vice- Chancellor which are not in accordance with the provisions made in the Memorandum of Association, Bye-laws.*
- c. *incompetence among other things shall include the following:*
- d. *failure to complete the teaching of the prescribed syllabi within the prescribed period, because of inability to teach, and*
- e. *such other incapacities in teaching as would lead to failure in imparting instruction to the students.*

#### **YU 49: Disciplinary Authority**

The Disciplinary Authority in respect of the teachers working in the colleges shall be the Vice-Chancellor.

#### **YU 50: Penalties**

Without prejudice to the provisions of any law for the time being in force, the following penalties may, for good and sufficient reasons, and as hereinafter provided, be imposed on the teacher found guilty of misconduct. The penalty to be imposed shall essentially be commensurate with the severity or gravity of the misconduct committed and shall be



imposed only after sufficient opportunity is provided to the teacher for being heard and to defend himself.

- a. Minor Penalties:
  - i. censure,
  - ii. fine,
  - iii. withholding of increment(s) of pay for specific period,
  - iv. Recovery from his pay or such other amounts as may be due from him.
- b. Major Penalties:

stoppage of increment(s) with or without effect on future increments reduction to a lower scale of pay, grade, post or service

  - i. compulsory retirement
  - ii. removal from service
  - iii. dismissal from service,
  - iv. Termination of service.

*Explanation (1): The order under (a) (iii) of withholding increment shall not affect subsequent increment(s).*

*Explanation (2): The order under sub-clause (a)(iv) for recovery shall expressly state the amount of the whole or part of any pecuniary loss caused by him to the University, by negligence or by breach of orders.*

*Explanation (3): Reduction under sub- clause (b) (ii) shall ordinarily be a bar to the placement of the teacher to the scale of pay, grade, post or service from which he was reduced, with or without further directions regarding condition of restoration to the scale of pay, grade, post or service from which he was reduced, and seniority and pay on restoration.*

*Explanation (4): The order of penalty of reduction, under sub- clause (b) (ii) shall expressly state whether the period of reduction shall be exclusive of any interval spent on leave or otherwise.*

*Explanation (5): Removal under sub-clause (b)(iv) and termination under sub-clause (b) (vi) shall not be a disqualification for future employment in the University.*

*Explanation (6): Dismissal under sub-clause (b)(v) shall be a disqualification for future employment in the University.*

### **YU 51: Procedure for Imposing Minor Penalty**

If the Disciplinary Authority is satisfied that the misconduct committed by the teacher is serious enough to inflict any of the minor penalties, the Disciplinary Authority shall

1. issue a notice to the teacher in writing along with the imputation(s) of misconduct and require him to show cause as to why the action proposed should not be taken against him;
2. give reasonable opportunity to the teacher-to-furnish the explanation;
3. take into consideration the explanation of the teacher and record findings on each imputation of misconduct;
4. issue the order imposing one or many of the minor penalties, or if satisfied, drop the imputation(s) and exonerate him of the charge(s);and
5. The teacher aggrieved by the decision of the Vice-Chancellor may appeal to the grievances Redressal Committee constituted under the Memorandum of Association.

### **YU 52: Action Not Amounting to Penalty**

The following action shall not amount to penalty within the meaning of these Bye- laws namely:

1. Non-placement of teacher in the higher grade.
2. Reversion of the teacher appointed on probation;
3. Compulsory retirement of the teacher in accordance with the provision relating to superannuation or retirement.
4. Termination of Services:
  - a. The teacher appointed on probation will be liable to be terminated during or at the end of the period of probation in accordance with terms and conditions of his appointment;  
**OR**
  - b. The services of temporary teacher may be terminated in accordance with the direction made in that behalf,
5. Termination of service of a teacher appointed under agreement in accordance with the terms and conditions of such agreement;
6. Repatriation of the service of the teacher whose service has been borrowed from an outside Authority or recalling the teacher from foreign employment to such Authority.

### **YU 53: Suspension**

1. The Disciplinary Authority may, by an order in the form prescribed in the *Appendix No. III*, place the teacher under suspension:
  - a. i) Where disciplinary proceedings against him are contemplated or are pending and are likely to result into imposing any of the major penalties;
  - ii) Where in the opinion of the Competent Authority, he has engaged himself in activities prejudicial to the interests of the college and/or University;
  - iii) Where there is reason(s) to believe that his continuance in service is likely to cause embarrassment or to tamper with the investigation of the case, or likely to tamper with the official record or document(s);
- b. Where case against him in respect of any criminal offense is under investigation, enquiry or trial in a court of law.
2. The teacher shall be deemed to have been placed under suspension-
  - a. With effect from the date of his detention, in police or judicial custody, on a criminal charge, for a period exceeding forty-eight hours;
  - b. With effect from the date of his conviction, if, in the event of a conviction for an offense, he is sentenced to a term of imprisonment exceeding forty eight hours and is not forthwith dismissed or removed or compulsorily retired, consequent to such conviction and shall remain under suspension until the order of suspension is modified or revoked by the Competent Authority.
3. While under suspension, the teacher shall not be allowed to resign.
4. The teacher under suspension shall not engage himself in any private or gainful employment, trade or business or private practice.
5. If the teacher under suspension attains the age of superannuation, he shall be deemed to have been retired. - However, the departmental or judicial proceedings pending against him shall continue even after his retirement.

#### **YU54: Preliminary Enquiry**

1. Before holding the departmental enquiry of the teacher, a preliminary enquiry shall be held by the following Committee:
  - i. Principal -Chairman
  - ii. One senior Professor nominated by the Vice-Chancellor.
  - iii. Head of the Department.
  - iv. Representative of the teacher concerned.
2. The Committee, after going through all the documents and evidence(s), shall see whether there is a prima facie case against the teacher. Provided that, while holding the preliminary enquiry; full opportunity shall be given to the teacher, to defend his case before the Committee.
3. The Committee, after going through all the documentary evidence and giving full opportunity to the teacher, shall prepare their report and submit the same to the Vice-Chancellor.
4. The Vice-Chancellor, after scrutinizing the report of the Committee, shall hold a full-fledged departmental enquiry of the teacher.  
Provided that, if the Vice- Chancellor after scrutinizing the report, does not agree with the findings of the report, he shall drop the enquiry.  
Provided further that, if the Vice- Chancellor, after scrutinizing the report, feels that the report is incomplete or requires some more documents/evidences, then he shall call for such additional documents! evidence, and take appropriate decisions.

#### **YU 55: Procedure of Enquiry**

1. Whenever the Disciplinary Authority is of the opinion that there are grounds for enquiry into the truth and/or substance of imputation(s) of misconduct on the part of the teacher(s), which may result in major penalty, it may itself enquire into or appoint an enquiry officer not below the rank of District Judge; to enquire into the truth thereof. The appointment order of the enquiry officer shall be issued in the form appended in **Appendix No. VI**
2. Where it is proposed to hold enquiry against the teacher, the Disciplinary Authority shall draw up or cause to draw up:
  - a. The substance of imputation(s) of misconduct into definite and distinct article(s) of charge(s);
  - b. A statement of imputation(s) of misconduct in support of each article of charge(s) which shall contain:
    - i. A statement of all relevant facts including any admission, or confession by the teacher, and
    - ii. A list of documents by which, and a list of witnesses by whom, the article(s) of charge(s) are proposed to be sustained.
3. The Disciplinary Authority shall deliver or cause to deliver to the teacher, in the form appended, in **Appendix No. VII** a copy of the article(s) of charge(s), the statement of imputation(s) of misconduct and a list of document(s) and of the witness (es) by which, each article of charge is proposed to be sustained, and shall; by a written notice require the teacher to submit to it, within fifteen clear days, a written statement of his defense and to state whether he desires to be heard in person.

4. On receipt of a written statement of defense and on admission of any or all article(s) of charge(s) by the teacher, the Disciplinary Authority shall record its findings on each charge admitted, after taking such evidence into account as it may think and shall act in the manner as prescribed.
5. On receipt of a written statement of defence of any or all of the article(s) of charge(s) by the teacher or on its non- receipt, the Disciplinary Authority may further enquire or cause to enquire into the charge(s) not admitted in the manner as prescribed.
6. Where the Disciplinary Authority appoints the enquiry officer, it may by an order appoint another teacher or any other suitable person to present the case in support of the article(s) of the charge(s) before the enquiry officer. The teacher may take assistance of any other teacher or any other suitable person to represent the case on his behalf. In case the enquiry officer permits the teacher to engage a legal practitioner to represent on his behalf the Disciplinary Authority may appoint a legal practitioner as presenting officer.
7. The Disciplinary Authority shall forward to the enquiry officer:
  - a. A copy of each of the article(s) of charge(s) and the statement of imputation(s) of misconduct,
  - b. A copy of the order appointing the presenting officer,
  - c. Copies of the statements of witnesses,
  - d. Evidence proving the delivery of documents to the teacher,
  - e. copy of the written statement of defence by the teacher, if any.

The teacher shall appear in person before the Disciplinary Authority or the enquiry officer on such day and at such time within ten working days from the date of receipt by the teacher of the article(s) of charge(s) and the statement of imputation(s) of misconduct as the Disciplinary Authority or the Enquiry Officer may, by notice in writing specify or such further time not exceeding ten days as the enquiry officer may allow.

The Disciplinary Authority may, *suomoto* or on being moved by the teacher, against whom enquiry is instituted, for just and sufficient reasons, transfers the proceedings to another enquiry officer constituted for the purpose.

If the teacher who has not admitted any of the article(s) of charge(s), in his written statement of defence or has not submitted any written statement of defence, appears before the Disciplinary Authority or enquiry officer, it shall ask him whether he is guilty or has any defence to make and if he pleads guilty of any of the article(s) of charge(s), it shall be so recorded under the signature of the teacher and of that Authority.

The Enquiry Officer shall return to the Disciplinary Authority the findings in respect of those article(s) of charge(s) which the teacher pleads guilty.

If the teacher fails to appear within the specified time or refuses to plead or admits to plead, the enquiry officer shall require the presenting officer to produce the evidence by which he proposes to prove article(s) of charge(s), and shall adjourn the case to a later date not exceeding fifteen days, after recording the order that the teacher may, for the purpose of his defense,

Inspect within five days of the order or within such further time not exceeding five days as the enquiry officer may allow, the documents specified in the list,

- f. Submit a list of witness(es) to be examined on his behalf,
- g. Give a notice within ten days of the order or within such further time not exceeding ten days as the enquiry officer may allow, for the discovery or production of any document(s), but not mentioned in the list, indicating the relevance of such document(s).



The teacher may apply orally or in writing, for supply of copies of the statements of witness (es), if any, mentioned in the list and the enquiry officer shall furnish him such copies as early as possible, and in any case not later than three days before the commencement of the examination of the witness on behalf of the Disciplinary Authority.

- a) The teacher may, by notice to the enquiry officer, require copies of certain document(s) in possession -of Appointing- Authority or Disciplinary Authority. In that -case, the enquiry officer, shall forward the same or copies thereof to the Authority in whose custody or possession the documents are kept, with a requisition for the production of the document(s) by a specified date;
- b) On receipt of the requisition, the Authority having the custody or possession of the requisitioned document(s), shall produce the same before the enquiry officer. Provided that, the enquiry officer may, for reasons to be recorded in writing, decline the requisition of any such documents, as are not relevant in the case and the enquiry officer may withdraw the requisition or press for the same.

Provided further that, if the Authority having the custody or possession of the requisitioned document(s), is satisfied, for the reasons to be recorded in writing that the production of all or any of such document(s) would be against the public interest, it shall inform the enquiry officer and the enquiry officer shall, on being so informed, withdraw there question and communicate the information to the teacher.

15. 1.
  - a. The enquiry shall commence on the date fixed by the enquiry officer and shall continue thereafter on the dates as may be fixed from time to time.
  - b. The oral evidence shall be recorded or caused to be recorded by the enquiry officer, in a question-answer form, on the completion of which it shall be read out to be correct and signed and dated by the teacher concerned, witness and the enquiry officer. The copy (copies) of the deposition(s) may be made available to the disciplinary Authority and to the teacher(s) on request and on payment of charges if any
    - a. The oral and documentary evidence by which the article(s) of charge(s) are proposed to be proved shall be produced by the Disciplinary Authority. The witness (es) may be examined by the Disciplinary Authority and cross examined by the teacher. The Disciplinary Authority shall be entitled to reexamine the witness, on any point(s) on which he has been cross-examined. The enquiry officer may also put questions to the witnesses.
    - b. Before the close of the case by the Disciplinary Authority, the Enquiry Officer may allow the presenting officer to produce fresh evidence and include the same in the list or may itself call for the new evidence or recall and reexamine any witness (es), and in such cases, the teacher shall be entitled to a copy of the list of further evidence. The enquiry officer shall give the teacher an opportunity of inspection of document(s) before they are taken on record. Provided that, no new evidence shall be permitted unless there is inherent lacuna(e) or defect(s) in evidence originally produced.
    - c. When the case the Disciplinary Activity is closed, the teacher shall state his defence orally and / or in writing. The teacher may examine himself and the witness (es), may be cross-examined by the Disciplinary Authority, re-examined by the teacher and examined by the enquiry officer. The enquiry officer may

also allow the teacher to produce new evidence, if it is necessary in the interest of natural justice.

- d. After the teacher closes his case and if the teacher has not examined himself, the enquiry officer may generally question him on the circumstances appearing against him, for the purpose of enabling the teacher to explain any circumstances appearing in the evidence against him.
  - e. The enquiry officer may, after the completion of production of evidence, hear the Disciplinary Authority or the presenting officer and the teacher and/or permit them to file written statements of argument of their respective case.
2. If the teacher to whom a copy of the article(s) of charge(s) has been delivered, does not submit a written statement of defence on or before the date specified or does not appear in person before the enquiry officer-or otherwise fails or refuses to comply with the provisions of this. Bye-laws, the enquiry officer may hold the enquiry *ex- parte*.
  3. a. Wherever the enquiry officer, after having heard and recorded the whole or part of the evidence, ceases to exercise jurisdiction thereon, and is succeeded by another enquiry officer, he shall act on the evidence so recorded by his predecessor and partly recorded by himself.  
Provided that, if the succeeding enquiry officer is of the opinion that further examination of any of the witnesses, already recorded, is necessary in the interest of natural justice, he may recall, examine, cross- examine and re-examine him; Provided further that, if the witness is recalled, he may be cross-examined and/or reexamined by the teacher or the presenting officer.
  - b. Where in the opinion of the enquiry officer, the proceedings of the enquiry establish any article(s) of charge(s) different from original article(s) of charge(s), he may record its findings on such article(s) of charge(s):  
Provided that, the findings on such article(s) of charge(s) shall not be recorded, unless the teacher has either admitted the facts on which such article(s) of charge(s) is based and has been provided a reasonable opportunity of defending himself against such article(s) of charge(s).

#### **YU56: Common Proceeding**

Where two or more teachers are concerned in any case, the Disciplinary Authority, for the senior teacher amongst those concerned, shall take all actions and proceed as per provisions of these Bye-laws in respect of other teachers concerned.

#### **YU 57: Report of the enquiry officer**

1. After the conclusion of enquiry, the enquiry officer shall prepare a report. Such report shall contain:
  - a. Article(s) of charge(s) and the statement of imputation(s) of misconduct;
  - b. The defence of the teacher in respect of each article of charge;
  - c. An assessment of the evidence in respect of each article of charge; and
  - d. The findings on each article of charge and the reasons thereof.
2. The enquiry officer, shall forward to the Disciplinary Authority, the record of enquiry which shall include-
  - a. The report prepared by him;

- b. The written statements of defence submitted by the teacher;
  - c. The oral and documentary evidence produced in the enquiry;
  - d. The written statements of argument filed by the presenting officer and the teacher, if any; and
  - e. The orders, made by the Disciplinary Authority and enquiry officer in regard to the enquiry.
3. The Disciplinary Authority, to which the record is forwarded may act on the evidence of the record or may, if it is of the opinion that further examination of any of the witnesses is necessary, recall the witness(es) and examine, cross-examine, and re-examine the witness(es) and impose on the teacher such penalty as it may deem fit in accordance with these Bye-laws:  
 Provided that, if any witness is so recalled, he may be cross- examined by the teacher.

**YU58: Action on Enquiry Report**

- 1. The Disciplinary Authority shall consider the report and record its findings on each charge.
- 2. The Disciplinary Authority, itself not being the enquiry officer, shall consider the enquiry report and if it disagrees with the enquiry officer on any article(s) of charge(s), he shall record its reasons for such disagreement and refer the case back to the enquiry officer for further enquiry and report. The enquiry officer shall thereon proceed to hold further enquiry according to the provisions of the preceding Bye-laws.
- 3. If the Disciplinary Authority, having regard to the findings on the charges, comes to the decision that no penalty be imposed or that the teacher be exonerated, he shall so order.
- 4. If the Disciplinary Authority, having regard to the findings, comes to the decision that any of the minor penalties be imposed on the teacher, it shall notwithstanding anything contained in these Bye- laws, determine what minor penalty shall be imposed, and he shall so order.
- 5. a) If the Disciplinary Authority having regard to its findings on all or any of the articles of charge, comes to the decision that any of the major penalties be imposed on the teacher, it shall—
  - I. furnish to the teacher, a copy of the enquiry report and its findings on each article of charge, expressly stating whether or not it agrees with the findings of the enquiry officer, together with brief reasons for its disagreement, if any;and
  - II. give to the teacher a notice stating the penalty proposed to be imposed on him by calling upon him, to submit within fifteen days of receipt of the notice or such further time not exceeding fifteen days, as may be allowed, such representation as he may wish to make on the proposed penalty and the cause as to why the penalty be not imposed on him. (*Appendix No. X*)
- b) The Disciplinary Authority shall consider the representation, if any, made by the teacher and determine the quantum of penalty that be imposed on him on the basis of the evidence adduced.
- 6. The final orders made by the Disciplinary Authority under this Bye-laws shall be communicated to the teacher and the enquiry officer. A second show-cause notice shall be issued to the teacher before the penalty is executed. (*Appendix No.IX*)

**YU59: Appeal**

1. Notwithstanding anything contained in these Bye-laws no appeal shall be made against
  - A. Any order of an interlocutory nature or of the nature of a step-in-aid or the final disposal of a disciplinary proceeding, other than an order of suspension;
  - B. Any order passed by an enquiry officer in the case of an enquiry under these Bye-laws. Subject to the provisions of clause (1) above, the teacher may prefer an appeal against all or any of the following orders, namely:
    - a. An order of suspension or deemed suspension made under Bye-laws.
    - b. An order imposing any of the penalties, by the Disciplinary Authority.
    - c. An order enhancing any penalty, imposed under these Bye-laws.
    - d. An order which—
      - I. Denies or varies to his disadvantage his pay, allowances or any other conditions of service;
      - II. Denies placement to which he is otherwise eligible according to the recruitment rules;
      - III. Interprets to his disadvantage the provisions of any such Bye-laws;
      - IV. Reverts him while officiating in a higher service, to a lower service, grade or post, otherwise than as a penalty;
      - V. Reduces or withholds the post-retirement benefits, if any;
      - VI. Determines the subsistence and other allowances to be paid to him for the period of suspension or for the period during which he is deemed to have been under suspension or for any portion thereof;
      - VII. Determines his pay and allowances, for the period of suspension or for the period of his dismissal, removal or compulsory retirement from service, or from the date of his--reduction to a lower service, grade, post, time- scale or stage in a scale of pay, to the date of his reinstatement or restoration to his service, grade or post as the case may be;
 

**OR**

      - VIII. Determines nature of the period from the date of his suspension or from the date of his dismissal, removal, compulsory retirement or reduction to a lower service, grade, post, scale of pay or stage in a scale of pay or the date of his reinstatement or restoration to his service, grade or post, etc., as the case maybe.

**YU 60: Appellate Authority**

The teacher aggrieved by the decision of the Disciplinary Authority, may appeal to the Chancellor of the University.

**YU 61: Service of Orders Notices etc.**

Every order, notice and other process made or issued under these Bye-laws shall be served in person on the teacher concerned or shall be communicated to him by registered post. In case the registered post is not effectively served the notice shall be pasted on the door of his residence and published in at least one leading local newspaper. (*Appendix No. VIII*)



## CHAPTER VII

### RETIREMENT

#### YU 62: Retirement

1. The teacher after confirmation shall continue in the service till he attains the age of superannuation.
2. The Competent Authority shall require the teacher to retire from the service, if-
  - a. He has reached the age of superannuation.
  - b. He has committed misconduct and imposed the penalty under sub- clause (iv), (v) or (vi) of clause (b) of **Bye-laws 50** and has been found to be inefficient.
  - c. He is found by the Medical Authority to be incapacitated for further service of any kind. It includes retirement on account of mental or physical infirmity.
  - d. He is absent from duties for five years or more.

#### YU63: Age of Superannuation

The age of superannuation of the teacher shall be sixty-five years (**Approved in Resolution No. 8 dt. 02.07.2010**) however, he shall retire from the service on the afternoon of the last day of the month in which he attains the age of superannuation.

#### YU 64: Extension in Service beyond the Age of Superannuation

The Competent Authority may, subject to the prior approval of the Chancellor grant an extension of service to the teacher beyond the age of superannuation, only on academic grounds, which shall be recorded in writing. Provided that, in same circumstances, extension be granted beyond the age of sixty years or up to sixty five years. Such a proposal of granting extension to the teacher shall be forwarded to the Vice-Chancellor three months prior to his date of retirement.

**In deserving cases on the basis of case to case analysis of need, contribution and health of the employee, extension may be granted up to the age of 70 year and as such of the faculty members may also be considered for appointment as HoD giving administrative powers up to the age of 70 years.**

**(Amended BoM dt.15.10.2011)**

#### YU 65: Re-employment

1. Notwithstanding anything contained in these Bye -laws, the Competent Authority may, subject to the prior approval of the Chancellor, grant re -employment to any teacher already retired, in the academic interest, which shall be recorded in writing.
2. The teacher who has retired before the age of superannuation voluntarily, on medical grounds, or for some other reason but not for avoiding any departmental proceedings may be re-employed by the Appointing Authority; with prior approval of the Chancellor. The specific reasons, carefully examined and recorded in writing by the Appointing Authority shall be communicated to the Chancellor. Such re- employed teacher shall be in the

service, up to his normal age of superannuation and shall be subject to the provisions of these Bye-laws.

#### **YU66: Voluntary Retirement**

1. The teacher who has put in at least twenty years of qualifying service, may at his sole discretion, opt for voluntary retirement from the service, by giving three clear months' notice to the Appointing Authority.

Provided that, during the three months' notice period, the said teacher shall have the liberty to withdraw such a notice of voluntary retirement at any time.

#### **YU67: Retirement on Medical Ground**

If the teacher is declared invalid for service, by the Medical Authority, on physical or mental incapacity, the teacher shall retire from the service with effect from the date of such declaration and shall be entitled to proportionate post retirement benefits upto the date of retirement.

#### **YU68: Removal or Compulsory Retirement**

1. Subject to these Bye-laws, the Competent Authority may remove any teacher from the service or may require him to retire on the grounds of misconduct and inefficiency.
2. In respect of the teacher retiring for reasons other than by way of superannuation, the Vice - Chancellor shall promptly inform the Chancellor as soon as the cause thereof arises.
3. While forwarding such a name(s), the Vice-Chancellor shall specifically make a mention whether any dues either to the constituent college or the University, are outstanding in the name of the teacher who is due for retirement.

#### **YU 69: Compensation for Retirement**

No claim as compensation by the teacher who is required to retire under these provisions shall be entertained, except the contributory provident fund and gratuity.

#### **YU 70: Post Retirement Benefits**

1. The teacher working in the colleges against the permanent post shall be eligible for the post-retirement benefits such as insurance linked gratuity and contributory provident fund only as per the Government of India rules.
2. The teacher shall clear all dues payable to the college and University outstanding to his account and vacate the residential accommodation, if provided, before the post-retirement benefits are extended to him.
3. The teacher who has been declared as deserter or who ceases to be in service, may be entitled to the post- retirement benefits, as prescribed by the University, from time to time, *pro -rata* up to the date he attended his duties regularly, provided the said period qualifies for such benefits.

#### **YU71: Discharge Certificate**

The University shall issue a discharge certificate to the teacher who leaves service after following due procedure as laid down under the Bye-laws, in the form appended in *Appendix No.II*

**CHAPTER- VIII**  
**MISCELLANEOUS**

**YU 72: Tenure Post**

1. If the teacher is appointed to a post which is sanctioned/created for a specific period of time, the teacher shall be governed by the specific provisions of the terms of contract and not by the provisions of these Bye-laws. He shall have no legal claim on the said or similar post in the colleges, except those specified in the contract.

Provided that, if the post is extended on the tenure basis, the teacher already working or the teacher who was working may be given preference. On the expiry of such extended period, the teacher shall be entitled to the terminal benefits as may be admissible.

2. The teacher may be appointed for a tenure period on a permanent or a temporary post, by a contract and shall be governed by the terms of contract and not by the provisions of these Bye -laws under the scheme.

**YU 73: Deserter**

The teacher who is absent from duty without permission for a period of more than thirty days, he shall be deemed to be deserter and his services shall stand terminated automatically on the expiry of the period.

Provided that, whenever the teacher is not able to attend the duties as prescribed and not able to communicate reasons of his absence for reasons beyond his control, the Appointing Authority may, by a special order, condone his absence.

Provided further that, before terminating the services of the deserter, the Appointing Authority shall first give thirty days notice to the deserter in local newspaper and send the copy of the said notice to the deserter on his permanent address by registered post and paste the copy of the notice on the door of his residence. After expiry of the notice period, Appointing Authority shall terminate the services of the deserter.

**YU 74: Discontinuation or Termination**

1. The teacher shall not leave or discontinue his service in the colleges without giving a prior notice in writing to the Competent Authority of his intention to leave or discontinue the service. The period of notice shall be —
  - a. Three calendar months in the case of the permanent teacher.
  - b. One calendar month in the case of the temporary and / or probationary teacher;  
In case of a short fall in resignation notice given by a permanent/ probationary/ temporary employee may be adjusted towards his/ her balance of Earned Leave at his/her credit.  

*(Amended on BOM dtd.17.08.2013)*
  - c. In case of breach of these provisions, the teacher shall pay to the college/University an amount equal to his pay for the notice period required to be given by him. In case he fails to pay the amount, it shall be recovered from the dues payable to him/her.
  - d. In case an employee resigns because he is proceeding for higher studies, notice period may be relaxed provided sufficient proof for selection for higher education be produced and the staff gives an undertaking to serve Yenepoya University for a specified period after acquiring that higher qualification.

*(Amended on BOM dtd. 08.10.2014)*

2. If, the Disciplinary Authority, after completing the procedure of departmental enquiry, comes to the conclusion that the teacher should be compulsorily retired or removed from service, he/she shall be discharged from service forthwith.
3. The teacher on probation shall not leave or discontinue his service without giving one month's prior notice in writing or one month basic pay in lieu thereof.
4. The Competent Authority shall not terminate the service of the teacher on probation without giving one month's prior notice in writing to the teacher or one month basic pay in lieu thereof.

**YU 75: Resignation of a Teacher**

The teacher working in the University and/or college shall resign his post by submitting a resignation letter to the Appointing Authority in his own handwriting through proper channels.

**YU 76: Relieving of a teacher**

1. The teacher before leaving the service-shall-hand over the charge of his post to the person duly-authorized by the Principal on his behalf.
2. The teacher shall return to the college, all the library books, advance(s), etc. and shall pay the maintenance charges of the accommodation provided to him if any.
3. The teacher shall vacate the quarter if any; allotted to him before handing over the charge.
4. The college shall pay all the dues which are payable to the teacher before he is being relieved, subject to his production of no-dues certificate from the concerned.
5. The Competent Authority shall handover the discharge certificate to the teacher in the prescribed form appended in *Appendix No. XI*.

**YU 77: College Council –**

Proposed to be shifted en bloc to Vol III – since it is not concerned with the service matters. There shall be a college council for every college. The college council shall consist of -

1. Principal -Chairman
2. Heads of the Departments
3. Nominee of the Vice-Chancellor not connected with the college. The college council shall meet at least twice in an academic year. The minutes of the meeting shall be submitted to the Vice - Chancellor for his approval.

The college council shall be responsible for –

- i. preparation of annual budget
- ii. academic development plans
- iii. starting of new programmes
- iv. academic calendar
- v. curricular and co-curricular and extension activities
- vi. sessional examinations



### **YU 78: Departmental Committee –**

Proposed to be shifted en bloc to Vol III – since it is not concerned with the service matters. There shall be a separate departmental Committee for each department in the college:

1. Constitution of such departmental Committee shall be
  - a. Head of the Department(Chairman)
  - b. All Professors
  - c. One Reader
  - d. Two Lecturers.

The Head of the Department shall nominate one of the members of the Committee as its Member Secretary. Provided that, in the Department, if there are six or less than six teachers then all of them shall be the members of the Departmental Committee.

2. The Departmental Committee shall be responsible to-
  - a. Smooth working of the department.
  - b. Obtain the students feedback of the teachers,
  - c. Monitor the teaching plan of the teacher,
  - d. Preparation of academic calendar of the department which shall include the terminal examination and other tests, if any, to be conducted during the academic year.
  - e. Preparation of theory and/or clinic timetable.
  - f. Students' welfare, including cultural and sports activities.
3. The Departmental Committee shall constitute Sub-committees, such as, Examination Committee, Library Committee, Laboratory Maintenance Committee, Store Committee, Students-' Activities Guidance Committee, Seminar Committee, Excursion Committee or any other Committees required for smooth working of the department.  
Provided that, the Departmental Committee, while constituting Subcommittees, shall see that all the teachers working in the department get due participation in such Committees.
4. The Departmental Committee shall prepare the annual financial estimates and submit the same to the Principal.
5. The Departmental Committee shall allocate the budgetary provisions of laboratory, library, etc. to the various sections as per their requirements.
6. There shall be not less than four Departmental Committee meetings in an academic year. Provided that, the Chairman shall send the minutes of each meeting to the Vice-Chancellor through the Principal for his information.
7. The Departmental Committee, in consultation with the faculty, shall assess the possibilities of starting new academic programmes, research activities, submission of research projects, etc.
8. The Departmental Committee shall consider such other items as may be specified either by the Principal and/or the Vice-Chancellor, from time to time.

### **YU 79: Duties of the Teacher**

- a. The teacher shall devote his time and energy to develop and improve his academic and professional competence by availing of all opportunities to attend and participate in academic programmes, such as seminars, orientation, refresher courses, clinics, in-service programmes, etc. The University may give the teacher every possible opportunity to do so.

- b. The teacher shall perform his academic duties such as preparation of lectures, demonstrations, assessment, and guidance to research students, tutorials, clinics, examinations etc. and will encourage pursuit of learning in the students.
- c. The teacher shall engage the classes regularly and punctually and impart such lessons and instructions as the Head shall allot him, from time to time, and shall not ordinarily remain absent from work without prior permission or grant of leave.
- d. The teacher shall observe the provisions of the Memorandum of Association, Bye-laws, in force and as modified, from time to time and abide by the decisions of the authorities, Vice-Chancellor, Principal and shall ensure the interest of the University and college such decisions. If it is found by the Board of Management that damage or loss has been caused to the college or University by an act or willful neglect or default on the part of the teacher, such damage or loss shall be recovered from him.
- e. In addition to the duties of teaching and allied activities the teacher shall, when required, attend to extra- curricular, co-curricular activities organised by the college and/ or the University and administrative and supervisory work and maintenance of records and assessment reports or any other duties befitting the status of a teacher assigned to him by the Vice-Chancellor, Principal and/or Head.
- f. A teacher shall help authorities of the University to enforce and maintain discipline and good habits among the students.
- g. A teacher shall assist the University in smooth conduct of the examinations.

#### **YU 80: Duties and Responsibilities of the Head of the Department**

The Head of the Department shall be the principal academic and executive Head of the Department, and shall work directly under the control of the Principal. H.O.D. shall be appointed by the Vice-Chancellor in the manner as prescribed in these Bye-laws and shall work directly under the control of the Principal. In addition to his duties and responsibilities as a teacher, he shall perform following additional duties and responsibilities:

1. He shall be ex-officio Chairman of the Departmental Committee.
2. He shall supervise and control the working of the teachers and the employees working in the department.
3. He shall be the reporting officer for the teachers and employees working in the department for their self-assessment or confidential reports.
4. He shall, in consultation with the Departmental Committee, prepare the annual financial estimates of the Department, time table of theory and practical examination and/or test to be conducted during the academic year.
5. He shall, in consultation with the Vice-Chancellor, and Principal take disciplinary action against the students in the Department.
6. He shall monitor the purchase of equipment, chemicals, and books etc. which are required to be purchased for his Department as per the procedure laid down by the University.
7. He shall maintain the accession and dead stock registers of chemicals, equipment, furniture etc.
8. He shall, with the assistance of the teachers, carryout the annual stock verification of the Department.
9. He shall be responsible for the smooth conduct of the examinations/tests conducted by the Department.
10. He shall assist the University in smooth conduct of the examinations.

11. He shall maintain the casual leave account of the teachers.
12. He shall perform such other duties and responsibilities as may be assigned to him by the Principal and Vice-Chancellor, from time to time.

### **YU 81: The code of professional ethics**

#### ***a. The teacher and his responsibilities:***

Any person who takes teaching as a profession assumes the obligation to conduct himself in accordance with the ideals of the profession. The teacher shall constantly be under the scrutiny of his students and the society at large. Therefore, every teacher shall see that there is no incompatibility between his precepts and practice. The national ideals of education which have already been set forth and which he should seek to inculcate among students must be his own ideals. The profession further requires that the teachers shall be calm, placid and communicative by temperament and amicable in disposition. Teacher shall –

- i. Adhere to a responsible pattern of conduct and demeanour expected of them by the community.
- ii. Manage his private affairs in a manner consistent with the dignity of the profession.
- iii. Seek to make professional growth continuous through study and research.
- iv. Express free and frank opinion by participation at professional meetings, seminars, conferences etc. towards the contribution of knowledge.
- v. Maintain active membership of professional organisations and strive to improve education and profession through them.
- vi. Perform their duties in the form of teaching, tutorial, clinics, practical, seminar work and examination work conscientiously and with dedication.
- vii. co-operate and assist in carrying out functions relating to the academic responsibilities, such as, assisting in appraising applications for admission, advising and counseling students as well as assisting in the conduct of the examinations, including supervision, invigilation and evaluation, and
- viii. Participate in extension, co-curricular and extracurricular activities including community service.

#### ***b. Teachers and the students:***

The teacher shall –

- I. respect the right and dignity of the student in expressing his opinion- deal justly and impartially, with students regardless of their religion, caste, political, economic, social and physical characteristics.
- II. Recognize the difference in aptitude and capabilities among students and strive to meet their individual needs.
- III. Encourage students to improve their attainments, develop their personalities and at the same time contribute to community welfare.
- IV. Inculcate among students scientific outlook and respect for physical labour and ideals of democracy, patriotism and peace.
- V. Be affectionate to the students and not behave in a vindictive manner towards any of them for any reason.
- VI. Pay attention to only the attainment of the student in the assessment of merit.
- VII. Make themselves available to the students even beyond their class hours and help and guide students without any remuneration or reward, in college premises.

- VIII. help students to develop an understanding of our national heritage and national goals, and
- IX. Refrain from inciting students against other students, colleagues and/or administration.

**c. Teachers and colleagues:**

The teacher shall-

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

**d. Teachers and authorities:**

The teacher shall

- i. discharge his professional responsibilities according to the existing Bye-Laws and adhere to procedure and methods consistent with his profession in initiating steps through his own institutional bodies and/or professional organisations for change of any such rule in a manner not detrimental to the professional interest.
- ii. not undertake any other employment and commitment including private practice, private tuitions, coaching classes, writing question and answers, etc.
- iii. co-operate in the formulation of policies of the institution by accepting various offices and discharge responsibilities which such offices may demand.
- iv. cooperate with the authorities for the betterment of the institutions keeping in view the interest and in conformity with dignity of the profession. should adhere to the conditions of contract.
- v. give and expect due notice before a change of position is made and
- vi. refrain from availing themselves for leave except for unavoidable reasons with a view to ensure completion of academic calendar.

**e. Teachers and non-teaching employees:**

- i. The teachers should treat the non-teaching employees as colleagues and equal partners in a co-operative undertaking, within every educational institution.
- ii. The teachers should help in the function of a joint staff council covering both teachers and the non- teaching employees.

**g) Teachers and guardians:**

The teachers shall try to see through teachers bodies and organisations that institutions maintain contact with the guardians of 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.

**g. Teachers and society:**



The teacher shall

- i. Recognise that education is a public service and strive to keep the public informed of 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 that 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 responsibilities of public office.
- v. Organize community health and awareness programmes for the society at large.
- vi. Refrain from taking part in or subscribing to or assisting in any way, activities which tend to promote feelings of hatred and enmity among different communities, relations or linguistic groups but actively work for National Integration.

**APPENDIX - I**

**YENEPOYA UNIVERSITY, MANGALORE**

**Recognized under Sec 3A of the UGC Act 1956 vide notification No, F.9-11/2007-U.3(A)  
dated 27 February 2008 of Ministry of HRD FORMAT FOR APPOINTMENT ORDER  
(YU 20(2))**

Ref.No.

Date:

To,

Dr/Shri./Smt.....

Sub. Appointment the Post of.....in..... (Subject)

In the.....college

Sir/Madam,

In response to our advertisement dated .....you had applied for the post of..... You were interviewed for the above post by the selection committee constituted by the University under Article No.12 (II) (a) and 12 (II) (b) of the Memorandum of Association.I am pleased to inform you that the Board of Management has appointed you on the said post in..... College..... At.....on a starting pay of Rs ..... In the scale of Rs .....with from effect.....

Your Appointment Is Subject to the following terms and conditions:

1. Your services will be governed by the Memorandum of Association, Bye-laws, Code of Conduct, Service Conditions etc. laid down by the University, from time to time.
2. (a) You are appointed ~~in clear vacancy~~ on full-time/part-time basis on probation for a period of two years from the date of joining.  
\*(b) Your appointment is purely temporary for a period of.....i.e. from.....to.....  
\*(c).....Your appointment is on leave/line vacancy for the period from ..... to .....
- \*(d) ~~This is temporary vacancy caused by Hence~~ You are appointed full- time on a purely temporary basis for a period of.....
- \*(e) Your appointment is on a part-time/one hour contract basis only.
3. (i) You will be paid basic pay ofRs./-per month in the scale indicated above. ~~You will~~ also be entitled to dearness allowance, house rent allowanee and C.C.A. at ~~the rate prescribed~~ by the University, from time to time. Other allowances will be eligible as per the University Rules, framed from time to time

- ii. You will be paid remuneration at the rate of Rs .....per lecture/per hour.
- \*4 (a) You will have to pass the NET or the SET or similar test as the case may be as laid down by the UGC, wherever applicable.
- (b) You will have to acquire the qualifications ..... (SET/NET) as prescribed by the UGC within the ..... period.
- \*5 You will submit the originals as well as certified true copies of relevant testimonials such as mark sheets, birth date, experience, discharge/relieving, last pay, caste certificates etc.at the time of joining duties.
- \*6. In case you accept the appointment you shall have to execute a deed of contract of service as prescribed in the Bye-Laws at the time of joining the duties.
- \*7 You will be allowed to join the duties on production of
  - i. Two passport size photographs.
  - ii. ~~Discharge~~Relieving certificate from previous employer (if any).
- 8. You will undergo medical examination by the approved medical officer or by the civil Surgeon at the place of your duty, within ~~three~~ months from the date of joining the duties.
- 9. You are required to give the correct mailing address as soon as you join the duties and any change in the address given earlier should be communicated to the Principal and copied to the undersigned. It will be presumed that any letter sent by registered post acknowledgement due (RPAD) on the address given, shall be deemed to have been acknowledged and duly signed by you.
- 10. You will not conduct or engage yourself in any private tuitions or private coaching classes and will not hold any office of profit.
- 11. You will not engage yourself in any other job paid full-time, part-time or otherwise, during the continuance of your service.
- 12. Your services are transferable to any other colleges run by the University as per the Bye-Laws.
- 13. You will have to communicate your acceptance to the Registrar within ten days from the date of receipt of this order of appointment, failing which your appointment is liable to be cancelled.

Yours faithfully,

REGISTRAR

Place:

Date:

**\*Please strike out whichever is not applicable.**

*Appendix II - deleted*

**APPENDIX – III**

**YENEPOYA UNIVERSITY, MANGALORE (Deemed University)  
DEED OF CONTRACT OF SERVICE {YU 21 (1)}**

This agreement made on the .....day of 200  
.....between Shri./Smt./Kum./Prof. Dr.....  
hereinafter referred to as "the Teacher" of the first part and the Registrar, Yenepoya University,  
Mangalore, (Deemed University)" of the second part.

It is hereby agreed by and between the parties hereto as under

1. That the Board of Management of the University hereby appoints Shri./Smt./Kum./Prof./Dr.....asain .....in the scale of Rs..... (Post) .....in the department..... of (Subject).....in.....College .....with effect from the date when the said.....Takes charge of the duties of his office and said ..... hereby agrees to abide by the conditions of services leave rules and conduct, discipline and appeal rules as are prescribed and will be prescribed hereafter by the bye-laws.
1. That the said parties agree and undertake to be bound by the Memorandum of Association, Bye-laws, Ordinances of the University for the time being in force and as may be amended and/or modified from time to time and brought into force at a later date and which shall be deemed to form part of the agreement.
2. That the said parties agree that this agreement shall continue in force till the date of superannuation of the teacher or until determined by notice in writing as required under the Bye-Laws relating to the conditions of service for the teacher.

IN WITNESS whereof the parties hereto have set their hands and seals on the day of the month and year mentioned above.

Place  
Date:

Signed by the said Signed and sealed

On behalf of the University  
Registrar

In the presence of Teacher

- 1.
- 2.

**APPENDIX –IV**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**

**ANNUAL SELF APPRAISAL REPORT (YU25(1))**

Name of the college: \_\_\_\_\_

Performance Appraisal Report Year: \_\_\_\_\_

**A. General Information**

- a. Name \_\_\_\_\_
- b. Date of Birth \_\_\_\_\_
- c. Address(Residential):\_Ph.No.\_ \_\_\_\_\_
- d. Designation \_\_\_\_\_
- e. Department \_\_\_\_\_
- f. Area of Specialization \_\_\_\_\_
- g. Date of Appointment \_\_\_\_\_
  - i. In the College \_\_\_\_\_
  - ii. On the Present Post: \_\_\_\_\_
- h. Honours Conferred \_\_\_\_\_

**B. Teaching**

- a. Classes Taught:

Class	Period	Assigned per week L/T/P/C	Taught in the year L/T/P/C	Steps taken engaging of periods missed during absence of leave
		(1)	(2)	(3)
i) Bachelor's Degree				
ii) Masters Degree				
iii) Research Degree				
iv) Any other				

(To be filled at the end of every academic year)

L = Lecture T=Tutorial P=Practical C =Clinics

- b. Regularity and Punctuality-
- c. Details of course teaching plan, synopsis of lectures and reading lists supplied to students.



- d. Details of participation in the following
  - i. Examination
  - ii. Internal Evaluation
  - iii. Paper Setting
  - iv. Assessment of Home Assignments
  - v. Conduct of Examinations
  - vi. Evaluation of Dissertation Etc.

C. Details of Innovations/Contribution in Teaching, during the year:

- a. Design of curriculum
- b. Teaching methods:
- c. Laboratory Experiments:
- d. Evaluation methods:
- e. Preparation of resource material including books reading materials, laboratory Manuals etc.
- f. Remedial Teaching Student Counseling (academic)
- g. Any other

D. Improvement of Professional Competence:

Details regarding Refresher/Orientation Courses attended, participated in summer schools, workshops, seminars, symposia etc.

E. Research Contributions:

- a. Number of Students (M.Phil. I Ph.D., M.D., M.S., M.D.S., P. G. Diploma Dissertation)

	At the beginning of the year	Registered during the year	completed during the year
M.D/MS/ME.			
M.Phil.			
Ph.D.			

- b. No. of research papers published (Please enclose list).

- c. Research Projects

Title of the Project	Name of the funding agency	Duration

- d. Details of Seminars, Conferences, Symposia organised/attended
- e. Patents taken, if any, give a brief description
- f. Membership of Professional Bodies Editorship of Journalsetc.

F. Extension Work / Community Service

- a. Please give a short account of your contribution to
  - i. Community work such as values of National integration, secularism, democracy, socialism, humanism, peace, scientific temper, flood or drought relief, family planning, Public Health, AIDS etc.
  - ii. National Literacy Mission

- b. Positions held/Leadership role played in organizations linked with Extension work and National Service Scheme (NSS) or NCC or any other similar activity

G Participation in Corporate Life

Please give a short account of your contribution to

- a. College/Institute
- b. Co-curricular activities.
- c. Enrichment of Campus Life (hostels, sports, games, cultural activities)
- d. Students' Welfare and Discipline
- e. Membership / Participation in Bodies / Committees on Education and National Development, Membership of University, Bodies and Authorities Etc.

H. Assessment

Steps taken by you for the evaluation of the course programme taught

I. General Data:

State brief assessment of your performance indicating -

- a. achievements
- b. difficulties faced
- c. suggestions for improvement

Signature of the Teacher

J. Remarks of the HOD (Assessing Authority):

- A. General Information
- B. Teaching
- C. Details of Innovations/Contribution in Teaching, during the year
- D. Improvement of Professional Competence
- E. Research Contributions
- F. Extension Work / Community Service
- G. Participation in Corporate Life (Guest lectures ,etc)
- H. Any other

Remarks of Principal/Dean (Reviewing Authority)

Remarks of the (Accepting Authority)

Vice-Chancellor

**APPENDIX - V**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University) FORM OF SUSPENSION ORDER**  
**(YU 53(1))**

To,

.....  
.....

As decided by the Board of Management by its resolution on item No.....passed in its meeting held on.....,I,..... do Here by suspend you Shri..... ) from the service of the\_College of the University with effect from\_\_\_\_\_on the charge/s mentioned below (1)  
(2)

2. It is also ordered that a regular departmental enquiry will be held into your conduct. Orders of appointing an enquiry authority for the purpose is being issued separately.
3. You should note that it is not permissible for you to accept any gainful employment or to do any business while you are under suspension. Any breach of this condition shall render you liable to forfeit your claim for subsistence allowance.
4. Pending further orders you will be paid a subsistence allowance provided under these Bye-laws.

**By Order**

**REGISTRAR**

Place: Mangalore

Date :

***APPENDIX - VI***  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**  
**FORM OF APPOINTMENT ORDER OF ENQUIRY OFFICER (YU 55(1))**

As it has been decided to hold a departmental enquiry into the conduct of Shri. \_\_\_\_\_ on the charge(s) mentioned in the memo of charges an enquiry authority consisting Shri. \_\_\_\_\_ (Designation)- \_\_\_\_\_ is appointed as enquiry officer to hold the enquiry in accordance with the procedure prescribed by the Bye-laws. A proforma in which the charge sheet is to be served Shri. \_\_\_\_\_ is attached. He is requested to see that they complete the enquiry and submit/s their report expeditiously and in any case on or before \_\_\_\_\_

**By Order**

**REGISTRAR**

Place: Mangalore

Date :

**APPENDIX - VII**

**YENEPOYA UNIVERSITY, MANGALORE**

**(Deemed University)**

**FORM OF MEMO OF CHARGES**

**(YU 55(3))**

**(Registered Post AID)**

I, (Name and Designation)\_\_\_\_\_ appointed enquiry authority vide the order issued by \_\_\_\_\_ underNo.\_\_\_\_of\_\_\_\_\_ to hold a departmental enquiry into your conduct do hereby charge you Sri. \_\_\_\_\_ as under etc.

1. A statement of allegations on which the charges are based is attached herewith, copies of the relevant documents which have been relied upon while framing the charges are also sent herewith.
2. You are called upon to put in your written statement of defence along with such documents as you intend to rely on in your defence in answer to the above charges within days from the date hereof and to state at the same time whether you desire to be heard in person. If you desire to examine any witness(es) in your defence, you are called upon to furnish at the same time the names and addresses of your witness(es). On your failure to put in your statement or to furnish the names and addresses of your witness(es) within the time allowed to you, it will be presumed that you do not wish to make a statement or to furnish the names and addresses of any witness(es).
3. You are further called upon to state why the above charges or any of them, if held proved, should not be considered as good and sufficient ground for imposing upon you any one of the penalties specified in the Bye-Laws. Any representation that you make with regard to the action taken against you would be considered by the competent authority before the final order of punishment is passed. You may, if you so desire, take inspection of relevant documents and if you further so desire you may take copies of required documents.

Place: Mangalore

Date :

**By Order REGISTRAR**



***APPENDIX - VIII***  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**

**FORM OF ORDER FOR  
REMOVAL OR DISMISSAL  
(YU61)**

As decided by the Board of Management by its Resolution on item No. \_\_\_\_ passed at its meeting held on \_\_\_\_\_

I, hereby direct that Shri. \_\_\_\_ is hereby dismissed/removed from the Services of the \_\_\_\_ college of the University with effect from \_\_\_\_ Hence you are dismissed/ removed from the services of the college of the University.

**By Order**

**REGISTRAR**

Place: Mangalore

Date:

APPENDIX - IX  
YENEPOYA UNIVERSITY, MANGALORE  
(Deemed University)

**FORM OF ORDER FOR IMPOSING PENALTY (YU 58(6))**

(Registered Post A. D.) To,

As decided by the Board of Management by its Resolution on item No. \_\_ Passed in its meeting held on \_\_\_\_\_ I, hereby direct that Shri./Smt./Kum. be charged with a penalty of \_\_\_\_\_/dismissal/ removal from the service of the \_\_\_\_\_ college of the University with effect from \_\_ (FN/AN).

Hence you are charged with a penalty of \_\_\_\_\_ dismissal/removal from the service of the said college of the University with effect from (FN/AN).

**By Order**

**REGISTRAR**

Place: Mangalore

Date:

From:

The Registrar, Yenepoya University, Mangalore

To:

APPENDIX – X  
YENEPOYA UNIVERSITY, MANGALORE  
(Deemed University)

**FORM OF SHOW-CAUSE NOTICE (YU 58 [5a(ii)])**

*Subject: Disciplinary action .....*

1. I am to forward herewith a copy of the report submitted by the enquiry officer who conducted the departmental enquiry into the charges and to state that with due consideration of the findings arrived at in this respect

It has been held that charges No. \_\_\_\_\_ mentioned in the memo of charges served upon you have been proved against you. It is, therefore, proposed to dismiss/remove you from the service of the \_\_\_\_\_ college of the University; retire you compulsorily from the service of the \_\_\_\_\_ college of the University; reduce you to a lower post or pay-scale or the lower stage of increment in your present time-scale of pay.

2. You are hereby called upon to show cause within 14 days from the date of receipt of this notice as to why the proposed penalty should not, ~~for good and sufficient reasons,~~ be imposed upon you. If you fail to do so within the time allowed to you, it will be presumed that you do not wish to show any cause, in respect of the disciplinary action proposed to be taken against you.
3. You are requested to acknowledge receipt of this Notice.

**Encl: As above**

Place: Mangalore  
Date: 2-7-2010

**By Order REGISTRAR**

**APPENDIX – XI**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**

**FORM OF HANDING OVER CHARGE**  
**(YU 76(5))**

\_\_\_\_\_ (Designation), in the \_\_\_\_\_ college  
have handed over the charge of my post \_\_\_\_\_  
with effect from \_\_\_\_\_ as I have resigned my post from \_\_\_\_\_.

I have already submitted a clearance certificate obtained from the Principal of the college stating that no property or money belonging to the college and or University is in my possession. I have already handed over possession of the premises occupied by me in the said college \_\_\_\_\_.

Signature of the Teacher

I, \_\_\_\_\_ (Designation), in the college of have taken over the charge from \_\_\_\_\_ in the college, who has resigned his post from \_\_\_\_\_. No property belonging to the college is in his possession. The premises occupied by him in the college for his residential accommodation have also been duly vacated and handed over by him.

**Principal / Director**

List of the property handed over to me.

**APPENDIX – XII**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**

**Notification**

**YENEPOYA INSTITUTE OF ARTS SCIENCE COMMERCE & MANAGEMENT**

**Promotion Criteria**

Designation/ Grade	Duration of service as per YU	Criteria/ Requirements
		Requirements as per UGC/YU norms
Lecturer (Contract appointment for 1 year)	Fresher	<ul style="list-style-type: none"> <li>• Post-graduation with 55% marks</li> <li>• No NET/SET/PhD</li> </ul>
Assistant Professor Grade I	Entry point	<ul style="list-style-type: none"> <li>• Post-Graduation in specialized area with above 55% marks</li> <li>• NET/SET mandatory</li> <li>• NET may be exempted for those with PhD (but NET is mandatory for all teaching staff may be given a time limit to complete )</li> </ul>
Assistant Professor Grade II	4 years of experience as Assistant Professor-I with PhD Or 5 years with M.Phil./ Professional courses Or 6 years without PhD.	<ul style="list-style-type: none"> <li>• NET/SET mandatory</li> <li>• NET may be exempted for those with PhD (but NET is mandatory for all teaching staff)</li> <li>• 2 publication as per norms.</li> <li>• One refresher course on research methodology of 2 to 3 weeks</li> <li>• One paper /poster presentation in a national/state/regional/international conference.</li> <li>• Score of 60% or above in Performance appraisal.</li> </ul>
Assistant professor Grade III	5 years of completed service as Assistant Professor-2 Or 6 years with MPhil Or 7 Years without PhD	<ul style="list-style-type: none"> <li>• NET/SET mandatory</li> <li>• NET may be exempted for those with PhD (but NET is mandatory for all teaching staff)</li> <li>• 2 publication as per UGC norms</li> <li>• One refresher course from the categories of methodology workshops, trainings, teaching -learning - evaluation technology programmes, soft skills development programs and faculty development programs of 2/3 weeks</li> <li>• One paper/poster presentation in a national/state/regional/international conference.</li> <li>• Score of 60% or above in Performance appraisal.</li> </ul>
Associate Professor Grade I	<ul style="list-style-type: none"> <li>• 3 years of completed service as Assistant Professor-3</li> <li>• PhD is mandatory</li> </ul>	<ul style="list-style-type: none"> <li>• One refresher course from the categories of methodology workshops, trainings, teaching -learning - evaluation technology programmes, soft skills development programs and faculty development programs of 2/3 weeks</li> <li>• 2 publications as per UGC norms.</li> <li>• One paper/ poster presentation /panel discussion/ guest lecturer/ invited lecture/Chairing/moderating in a National/state/ regional/ international Conference.</li> <li>• Score of 60% or above in Performance appraisal.</li> </ul>

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Associate Professor Grade II	<ul style="list-style-type: none"> <li>• 3 years of completed service as Associate Professor- 1</li> <li>• PhD is mandatory</li> </ul>	<ul style="list-style-type: none"> <li>• One refresher course from the categories of methodology workshops, trainings, teaching -learning - evaluation technology programmes, soft skills development programs and faculty development programs of 2/3 weeks</li> <li>• 2 publications as per UGC norms.</li> <li>• One paper/ poster presentation /panel discussion/ guest lecturer/ invited lecture/Chairing/moderating in a National/state/ regional/ international Conference. Score of 70% or above in Performance appraisal.</li> </ul>
Additional Professor	<ul style="list-style-type: none"> <li>• 3 years of completed service as Associate Professor – 2</li> <li>• PhD is mandatory</li> </ul>	<ul style="list-style-type: none"> <li>• One refresher course from the categories of methodology workshops, trainings, teaching -learning - evaluation technology programmes, soft skills development programs and faculty development 3 publications as per UGC norms.</li> <li>• One paper/ poster presentation /panel discussion/ guest lecturer/ invited lecture/Chairing/moderating in a National/state/ regional/ international Conference.</li> <li>• Score of 90% or above in Performance appraisal.</li> <li>• Additional credentials evidenced by post-doctoral research outputs of high standard/awards, recognition, patents, IPR/any additional research degrees.</li> </ul>
Professor	Only on vacancy position	Score of 90% or above in Performance appraisal.
HOD/Vice Principal	Ph.D with Minimum 1 year experience as Professor	<ul style="list-style-type: none"> <li>• 3 publications as per UGC norms.</li> <li>• One paper/ poster presentation /panel discussion/ guest lecturer/ invited lecture/Chairing/moderating in a National/state/ regional/ international Conference.</li> </ul> <p>Note: Apart from seniority, appraisal and publications will be taken into consideration for HOD post</p>

- Those who are not eligible as per UGC will be taken on contract basis and they will be given 1 year duration to clear the eligibility criteria's.
- Yenepeya service only will be considered for promotion against non-vacancy as per UGC faculty student ratio.
- \* Apart from seniority, performance appraisal and publications will be taken into consideration for HOD post
- Promotion to professor post is only against vacancy from sanctioned posts.
- \* These norms may be changed mutatis mutandis (as and when changed by regulatory authorities)
- \* Annual increments wherever applicable will be based on performance appraisal.
- The age of superannuation for all categories of staff will be at 60 years.
- \* LOP/Long leaves will be deducted before calculating the eligibility.

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**APPENDIX – XIII**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**

**YENEPOYA PHYSIOTHERAPY COLLEGE**  
**Promotion Criteria in the absence of Vacancy**

Designation/ Duration	Duration of service as per YU	Criteria/ requirements
Assistant professor (Entry level)	Fresher	<ul style="list-style-type: none"> <li>MPT/MSPT/MSc.PT or equivalent from any recognized University.</li> </ul>
Assistant professor stage: I	Minimum experience of 3 years as Assistant professor	<ul style="list-style-type: none"> <li>2 publications in indexed journal (During 3 years of Assistant professor - entry level)</li> <li>One paper/poster presentation in a national/state/regional/international conferences. (During 3 years of Assistant professor - Entry level)</li> <li>55% score or above in performance appraisal</li> </ul>
Associate Professor stage: I	Minimum experience of 3 years as Assistant professor stage: I	<ul style="list-style-type: none"> <li>2 publications in indexed journal (During 3 years of Assistant professor stage-1 to a total minimum of 4).</li> <li>One paper/poster presentation in a national/state/regional/international conferences (During 3 years of Assistant professor - stage-1)</li> <li>55% score or above in performance appraisal</li> </ul>
Associate Professor stage II	Minimum experience of 3 years as Associate Professor stage: I	<ul style="list-style-type: none"> <li>3 publications in indexed journal (During 3 years of Associate professor - stage-1)</li> <li>One paper/poster presentation in a national/state/regional/international conferences (During 3 years of Associate professor stage-I)</li> <li>Completion of Ph.D (Mandatory)</li> <li>55% score or above in performance appraisal</li> </ul>
Associate Professor stage: III	Minimum experience of 3 years as Associate Professor stage: II	<ul style="list-style-type: none"> <li>3 publications in indexed journal (During 3 years of Associate professor stage-1)</li> <li>One paper/poster presentation in a national/state/regional/international conferences (During 3 years of Associate professor stage-II)</li> <li>Completion of Ph.D (Mandatory)</li> <li>55% score or above in performance appraisal</li> </ul>
Additional Professor	Minimum experience of 3 years as Associate Professor stage: III	<ul style="list-style-type: none"> <li>3 publications in indexed journal (During 3 years of Associate professor stage-III)</li> <li>One paper/poster presentation in a national/state/regional/international conferences (During 3 years of Associate professor stage-III)</li> <li>Considered only in case of no vacancy for Professor category</li> <li>Completion of Ph.D (Mandatory)</li> <li>55% score or above in performance appraisal</li> </ul>
Professor	Only on vacancy position	<ul style="list-style-type: none"> <li>55% score or above in performance appraisal</li> </ul>
HOD	(Rotation)	<ul style="list-style-type: none"> <li>55% score or above in performance appraisal.</li> </ul> <p>Note : Apart from seniority PE and publication will be taken into consideration for HOD post</p>

- Apart from seniority, PE and publications will be taken into consideration for HOD post.
- Promotion to Professor post is only against vacancy from sanctioned posts.
- These norms may be changed mutatis mutandis (as and when changed by regulatory authorities).
- Annual increments wherever applicable will be based on performance appraisal.
- The age of superannuation for all categories staff will be at 60 years.
- Faculty who are beyond 60 years, working in various departments move to annual contract category

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**APPENDIX – XIV**  
**YENEPOYA UNIVERSITY, MANGALORE**  
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**Minimum qualification for appointment and promotion criteria for YRC Faculty and Staff**

Designation	Qualification for	Total Experience/ Service	Criteria / Requirements
Assistant Professor-I (Entry cadre)		2 years as Post PhD	4 publications in Post-PhD tenure
Assistant Professor-II		3 years as AP-III or equivalent	PE score of 60/year
Assistant Professor-III		3 years as AP-III or equivalent	PE score of 60/year
Associate Professor-I		3 years as AP-III/ or equivalent	PE score of 70/year
Associate Professor-II		3 years as Associate Professor-I/ or equivalent	PE score of 80/year
Professor/ Additional Professor		3 years as Associate Professor-II / or equivalent	PE score of 90/year

**Temporary Research Positions**

Designation	Experience	CRITERIA / Requirements
Research Assistant/Project Assistant	Fresher	Post graduate degree in science/social science streams with minimum 55% aggregate marks.
Junior Research fellow (JRF)	Fresher	Post graduate degree in science/social science streams with minimum 55% aggregate marks. Mandatory to enrol PhD programme.
Senior Research fellow (SRF)	2 years as JRF or equivalent	Qualifications prescribed for JRF with two years of research experience. Two publications in journals with impact factor (web of science). At least one original article.
Scientific Officer (SO)	2 years as PDF/ or equivalent	Minimum 2 publications (Post-PhD) as first/corresponding author

**Stand-alone Research Posts**

Designation	Total Experience/ Service	Criteria / Requirements
Post Doctoral Fellow	PhD	Minimum 2 publications WoS and Scopus indexed) in journals (original articles as first author).
Research Associate	4 years of research and teaching/Industry experience	4 years of research and teaching/Industry experience after post graduate degree. Three publications in journals with impact factor (web of science).

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Technical Posts		
Designation	Experience	CRITERIA / Requirements
Lab assistant (safety/document management)	2 years	Bachelor degree with 2 years in laboratory maintenance.
Junior Technical Assistant	2 years as Lab assistant/ or Fresher with Graduate degree	M.Sc. with minimum of 55% of aggregate marks with knowledge of test systems.
Technical Assistant	2 years as JE/TA	M.Sc./BTec or equivalent degree.
Lab manager/ Technical officer	3 years as TA	M.Sc./BTech or equivalent degree in Bi cal/chemical/envir ences etc.
Senior Technical Officer	6 years as TO	M.Sc./BTech/ or equivalent degree in biological/ chemical/environmental sciences etc.

Stand-alone posts		
Designation	Experience	CRITERIA / Requirements
Clinical Research Coordinator	2 years	M.Sc. Biological science with training in ethics /regulatory issues and minimum 2 years of experience in clinical research.
Senior Clinical Research Coordinator	5 years as CRC	Proven track record with success stories of completed studies.

Administrative posts (As per university norms)		
Designation	Duration of service as per YU?	CRITERIA / Requirements
Office assistant		
Second divisional assistant (SDA)		
First divisional assistant (FDA)		

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**APPENDIX – XV**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**


**MEDICAL FACULTY**  
**Promotion criteria in the absence of vacancy**

Designation/ Durati	Duration of service as per YU	Criteria/ requirements
		Requirements as per MCI/UGC/YU norms
Senior Resident (Entry point)		
Assistant professor stage I	<ul style="list-style-type: none"> <li>Minimum experience of 1 year as SR</li> <li>Re designation will be considered only in departments having SRs over and above MCI requirement</li> </ul>	1 publication as per MCI norms
Assistant Professor Stage II	<ul style="list-style-type: none"> <li>4 years of experience as AP stage</li> </ul>	<ul style="list-style-type: none"> <li>2 publications as per MCI norms</li> <li>One paper /poster presentation in a national/state/regional/international conference</li> <li>Score of 55% or above in Performance appraisal</li> </ul>
Associate professor stage I	Minimum experience 2 years as AP Stage II	<ul style="list-style-type: none"> <li>1 publication as per UGC/MCI norms</li> <li>One paper /poster presentation in a national/state/regional/international conference</li> <li>Score of 55% or above in Performance appraisal</li> </ul>
Associate Professor stage II	Minimum experience 3 years as Associate Professor Stage I	<ul style="list-style-type: none"> <li>2 publications as per MCI</li> <li>One paper /poster presentation in national/state/regional/international conference</li> <li>Score of 55% or above in Performance appraisal</li> </ul>
Additional Professor	<ul style="list-style-type: none"> <li>Minimum experience 3 years as Associate professor stage II</li> </ul>	<ul style="list-style-type: none"> <li>1 publication as per UGC/MCI norms</li> <li>One paper/ poster presentation /panel discussion/ guest lecturer/ invited lecture/Chairing/moderating in a National/state/ regional/international Conference</li> <li>Score of 55% or above in Performance appraisal</li> </ul>
Professor	Only on vacancy position	<ul style="list-style-type: none"> <li>Score of 55% or above in Performance appraisal</li> </ul>
HOD	On rotation basis	<ul style="list-style-type: none"> <li>Score of 55% or above in Performance appraisal</li> <li>Note : Apart from seniority PE and publications will be taken into consideration for HOD post</li> </ul>

- Apart from seniority, PE and publications will be taken into consideration for HOD post
- Promotion to professor post is only against vacancy from sanctioned posts.
- If required for MCI, faculty may be shown against lower cadre (Except for SR)
- These norms may be changed mutatis mutandis (as and when changed by regulatory authorities)
- Annual increments wherever applicable will be based on performance appraisal.
- The age of superannuation for all categories of staff will be at 60 years.
- Faculty who are beyond 60 years, working in various departments move to annual contract category, however their pay will be protected, at present

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**APPENDIX – XVI**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**

**DENTAL FACULTY**  
**Draft of Promotion criteria in the absence of vacancy**

DESIGNATION/	DURATION of service	CRITERIA/ REQUIREMENTS As per DCI/UGC /YU
Lecturer –on Probation	Entry point	
Lecturer stage- I	2years as lecturer on probation	2 publications
Lecturer stage II	Minimum experience 4 years as Lecturer STAGE I	<ul style="list-style-type: none"> <li>• 20 points in publications (minimum 2 publications) as per DCI</li> <li>• One paper /poster presentation in a national/state/regional/international conference</li> <li>• Score of 55% or above in performance appraisal -</li> </ul>
Reader - STAGE I	Minimum experience of 2 years as Lecturer Stage II	<ul style="list-style-type: none"> <li>• 1 publication as per UGC</li> <li>• One paper /poster presentation in a national/state/regional/international conference /year</li> <li>• Score of 55% or above in performance appraisal</li> </ul>
Reader stage II	Minimum experience of 4years as Reader stage I	<ul style="list-style-type: none"> <li>• 30 points in publications (minimum 2 publications)</li> <li>• One paper/ poster presentation /panel discussion/ guest lecturer/ invited lecture/Chairing/moderating in a National/state/ International/regional Conference</li> <li>• Score of 55% or above in Performance appraisal</li> </ul>
Additional professor	Minimum experience of 3 years as reader/ associate professor stage II	<ul style="list-style-type: none"> <li>• Score of 55% or above in Performance appraisal</li> </ul>
Professor	Only on vacancy position	<ul style="list-style-type: none"> <li>• Score of 55% or above in Performance appraisal</li> </ul>
HOD		<ul style="list-style-type: none"> <li>• 40 points in publications (minimum 2 publications)</li> <li>• Score of 55% or above in Performance appraisal</li> </ul>

- Apart from seniority, PE and publications will be taken into consideration for HOD post Promotion to professor post is only against vacancy from sanctioned posts .
- Titles may be shown as per DCI requirement may be the down position as well.
- These norms may be changes mutatis mutandis(as and when changed by regulatory authorities) Annual increments wherever applicable will be based on performance appraisal.
- The age of superannuation for all categories staff will be at 60 years.
- Faculty who are beyond 60 years, working in various departments move to annual contract category, however their pay will be protected.

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**APPENDIX - XVII**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**

**YENEPOYA PHARMACY COLLEGE AND RESEARCH CENTRE**  
**Pro Criteria in the absence of Vacancy**

<b>Designation</b>	<b>Duration of service in years</b>	<b>Criteria/requirement</b>
Assistant Professor Stage -I (Entry Level)	Fresher	<ul style="list-style-type: none"> <li>• Minimum 1 publication in a Scopus index journal/UGC CARE.</li> <li>• 1 paper presentation in a national or international level conferences/seminar.</li> </ul>
Assistant Professor Stage -II	2 years as Assistant Professor stage-I	<ul style="list-style-type: none"> <li>• Minimum 2 publications in a Scopus index journal/UGC CARE.</li> <li>• 1 paper presentation in a national or international level conferences/seminar.</li> <li>• 55% score or above in performance appraisal</li> </ul>
Associate Professor Stage-I	3 years as Assistant Professor stage-II	<ul style="list-style-type: none"> <li>• Minimum 3 publications in a Scopus index journal/UGC CARE.</li> <li>• 1 paper presentation in a national or international level conferences/seminar.</li> <li>• 55% score or above in performance appraisal</li> </ul>
Associate Professor Stage-II	4 years as Associate Professor stage -I	<ul style="list-style-type: none"> <li>• Minimum 4 publications in a Scopus index journal/UGC CARE.</li> <li>• 2 papers presentation in a national or international level conferences/seminar.</li> <li>• Completion of Ph.D (Mandatory)</li> <li>• 55% score or above in performance appraisal</li> </ul>
Additional Professor	4 years as Associate Professor stage -II	<ul style="list-style-type: none"> <li>• Minimum 4 publications in a Scopus index journal/UGC CARE.</li> <li>• 2 papers presentation in a national or international level conferences/seminar per year to get the regular increment.</li> <li>• Completion of Ph.D (Mandatory)</li> <li>• 55% score or above in performance appraisal</li> </ul>
Professor	Only on vacancy position	<ul style="list-style-type: none"> <li>• 55% score or above in performance appraisal</li> </ul>
HOD	(Rotation)	<ul style="list-style-type: none"> <li>• 55% score or above in performance appraisal.</li> </ul> <p>Note : Apart from seniority PE and publication will be taken into consideration for HOD post</p>

- Apart from seniority, PE and publications will be taken into consideration for HOD post.
- Promotion to Professor post is only against vacancy from sanctioned posts.
- If required for PCI, faculty may be shown against lower cadre.
- These norms may be changed mutatis mutandis (as and when changed by regulatory authorities).
- Annual increments wherever applicable will be based on performance appraisal.
- The age of superannuation for all categories staff will be at 60 years.
- Faculty who are beyond 60 years, working in various departments move to annual contract category.

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**APPENDIX – XVIII**  
**YENPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**

**YHMCH FACULTY**  
**Promotion criteria in the absence of vacancy (Notified on 12.01.2021)**

Designation	Duration of Service	Criteria/Requirements as per CCH /UGC/YU
Assistant Professor -on Probation	Entry Point	
Assistant Professor STAGE I	2 years as Assistant Professor on probation	<ul style="list-style-type: none"> <li>• 1 publication</li> </ul>
Assistant Professor STAGE II	Minimum experience 4 years as Assistant Professor STAGE I	<ul style="list-style-type: none"> <li>• Minimum 2 publications</li> <li>• One paper/poster presentation in a national/state/regional/international conference</li> <li>• Score of 55% or above in performance appraisal</li> </ul>
Associate Professor STAGE I	Minimum experience of 2 years as Associate Professor STAGE II	<ul style="list-style-type: none"> <li>• 1 publication</li> <li>• One paper/poster presentation in a national/state/regional/international conference/year</li> <li>• Score of 55% or above in performance appraisal</li> </ul>
Associate Professor STAGE II	Minimum experience of 3 years as Associate Professor STAGE I	<ul style="list-style-type: none"> <li>• Minimum 2 publications</li> <li>• One paper/poster presentation/panel discussion/guest lecturer/invited lecture/chairing/moderating in a National/State/International/regional Conference</li> <li>• Score of 55% or above in Performance appraisal</li> </ul>
Additional Professor	Minimum experience of 3 years as Associate professor stage II	<ul style="list-style-type: none"> <li>• Score of 55% or above in performance appraisal</li> </ul>
Professor	Only on vacancy position	<ul style="list-style-type: none"> <li>• Score of 55% or above in performance appraisal</li> </ul>
HOD		<ul style="list-style-type: none"> <li>• Score of 55% or above in performance appraisal</li> </ul>

- Apart from seniority, PE and publications will be taken into consideration for HOD post.
- Promotion to Professor post is only against vacancy from sanctioned posts.
- If required for CCH faculty may be shown against lower cadre.
- These norms may be changed mutatis mutandis (as and when changed by regulatory authorities).
- Annual increments wherever applicable will be based on performance appraisal.
- The age of superannuation for all categories staff will be at 60 years.
- Faculty who are beyond 60 years working in various departments move to annual contract category.

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**APPENDIX – XIX**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**


**NOTIFICATION**  
**YENEPOYA AYURVEDA MEDICAL COLLEGE HOSPITAL**  
**Promotion criteria**

Designation	Duration of Service	Criteria/Requirements as per CCIM/UGC/YU
Assistant Professor -on Probation	Entry Point	
Assistant Professor STAGE I	2 years as Assistant Professor on probation	• 1 publication
Assistant Professor STAGE II	Minimum experience 4 years as Assistant Professor STAGE I	• Minimum 2 publications • One paper/poster presentation in a national /state/ regional/international conference • Score of 55% or above in performance appraisal
Associate Professor STAGE I	Minimum experience of 2 years as Assistant Professor STAGE II	• 1 publication • One paper/poster presentation in a national/state/regional/international conference/year • Score of 55% or above in performance appraisal
Associate Professor STAGE II	Minimum experience of 4 years as Associate Professor STAGE I	• Minimum 2 publications • One paper/poster presentation/panel discussion/ guest lecturer/invited lecture/chairing/moderating in a National/State/International/regional Conference • Score of 55% or above in Performance appraisal
Additional Professor	Minimum experience of 3 years as Associate professor stage II	• Score of 55% or above in performance appraisal
Professor	Only on vacancy position	• Score of 55% or above in performance appraisal
HOD		• Score of 55% or above in performance appraisal

- Apart from seniority, PE and publications will be taken into consideration for HOD post.
- Promotion to Professor post is only against vacancy from sanctioned posts.
- If required for CCIM, faculty may be shown against lower cadre.
- These norms may be changed mutatis mutandis (as and when changed by regulatory authorities).
- Annual increments wherever applicable will be based on performance appraisal.
- The age of superannuation for all categories staff will be at 60 years.
- Faculty who are beyond 60 years, working in various departments move to annual contract category.

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 (Deemed to be University)



**APPENDIX – XX**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**

**YENEPOYA NURSING COLLEGE**  
Promotion Criteria in the absence of Vacancy

Designator/ Duration	Duration of service as per YU	Expectations during the period
Assistant Professor (Entry Level)	Fresh M.Sc (N)	<ul style="list-style-type: none"> <li>• One Publication</li> <li>• One Paper/Poster Presentation</li> </ul>
Asst Professor Stage - I	2 year as Assistant Professor	<ul style="list-style-type: none"> <li>• One Publication</li> <li>• One Paper/Poster Presentation</li> <li>• Score of 55% or above in performance appraisal</li> </ul>
Asst Professor Stage - II	2 years as Asst. Professor stage – II	<ul style="list-style-type: none"> <li>• Two Publications</li> <li>• One Paper/Poster Presentation</li> <li>• Enrolled for Ph.D</li> <li>• Score of 60% or above in performance appraisal</li> </ul>
Associate Professor Stage - I	3 years as Asst. Professor stage – II	<ul style="list-style-type: none"> <li>• One Publication</li> <li>• One Paper/Poster Presentation</li> <li>• Score of 65% or above in performance appraisal</li> </ul>
Associate Professor Stage - II	3 years as Assoc. Professor stage – I	<ul style="list-style-type: none"> <li>• Two Publications</li> <li>• One Paper/Poster Presentation</li> <li>• Score of 65% or above in performance appraisal</li> <li>• Completion of Ph.D (Mandatory)</li> </ul>
Additional Professor	3 year as Assoc. Professor stage – II	<ul style="list-style-type: none"> <li>• Two Publications</li> <li>• One Paper/Poster Presentation/panel lecture/invited lecture/ chairing moderating in a National/State/ regional/international Conference</li> <li>• Completion of Ph.D (Mandatory)</li> <li>• Score of 70% or above in performance appraisal</li> </ul>
Professor	Only on vacancy position	<ul style="list-style-type: none"> <li>• 70% score or above in performance appraisal</li> </ul>
HOD	(Rotation)	<ul style="list-style-type: none"> <li>• 70% score or above in performance appraisal.</li> </ul> <p>Note : Apart from seniority PE and publication will be taken into consideration for HOD post</p>

- Apart from seniority, PE and publications will be taken into consideration for HOD post.
- Promotion to Professor post is only against vacancy from sanctioned posts.
- If required for INC, faculty may be shown against lower cadre.
- These norms may be changed mutatis mutandis (as and when changed by regulatory authorities).
- Annual increments wherever applicable will be based on performance appraisal.
- The age of superannuation for all categories staff will be at 60 years.
- Faculty who are beyond 60 years, working in various departments move to annual contract category.

REGISTRAR

ATTESTED

Sugadhara Somayaji K.S.  
Registrar  
Deemed to be University  
Road, Derlakatta  
- 575 018, Karnataka



**APPENDIX – XXI**  
**YENPOYA UNIVERSITY, MANGALORE**  
**(Deemed University)**

**MEDICAL FACULTY**  
**Promotion criteria for Super Specialty in the absence of vacancy.**

Designation/ Duration	Duration of service as per YU	Criteria/ requirements	
		Requirements as per MCI/UGC/YU norms	Salary
Senior Resident (Registered for M.Ch./DM in the Concerned Subject)			Rs. 1,00,000/- pm
Assistant professor		As per MCI	Rs. 1,25,000/- pm
Assistant Professor Stage II	• 1 years of experience as Assistant Professor stage I	• 1 publication as per norms. • One paper /poster presentation in a national/state/regional/international conference. • Score of 60% or above in Performance appraisal.	Rs. 1,40,000/- pm
Associate professor stage I	Minimum experience 2 years as Assistant Professor Stage II	• 2 publication as per UGC/MCI norms • One paper /poster presentation in a national/state/regional/international conference. • Score of 60% or above in Performance appraisal.	Rs. 1,70,000/- pm
Associate Professor stage II	Minimum experience 2 years as Associate Professor Stage I	• 2 publications as per YU norms • One paper /poster presentation in national/state/regional/international conference. • Score of 60% or above in Performance appraisal.	Rs. 1,80,000/- pm
Additional Professor	• Minimum experience 3 years as Associate Professor stage II	• 3 publications as per UGC/MCI norms. • One paper/ poster presentation /panel discussion/ guest lecturer/ invited lecture/Chairing/moderating in a National/state/ regional/ International Conference. • Score of 60% or above in Performance appraisal.	Rs. 1,90,000/- pm + Rs. 2000/- (Yearly Increment)
Professor	Only on vacancy position	• Score of 60% or above in Performance appraisal	Rs. 2,00,000/- pm + Rs. 2000/- (Yearly Increment)
HOD	On rotation basis	• Score of 60% or above in Performance appraisal Note : Apart from seniority PE and publications will be taken into consideration for HOD post	Rs. 25,000/- pm (HOD Allowance) + Rs. 2000 /- (Yearly Increment)

- Yenepoya service only will be considered for promotion against non vacancy as per MCI
- Apart from seniority, PE and publications will be taken into consideration for HOD post
- Promotion to professor post is only against vacancy from sanctioned posts.
- If required for MCI, faculty may be shown against lower cadre(Except for SR)
- These norms may be changed mutatis mutandis(as and when changed by regulatory authorities)
- Annual increments whenever applicable will be based on performance appraisal.
- The age of superannuation for all categories of staff will be at 60 years.
- Faculty who are beyond 60 years, working in various departments move to annual contract category, however their pay will be protected present.
- LOP/Long leaves will be deducted before calculating the eligibility.
- Financial benefits will be considered with effect from 1<sup>st</sup> June 2021.

*Basu Mayan*  
**REGISTRAR**

**ATTESTED**

*[Signature]*  
**Dr. Gangadhara Somayaji K.S.**  
**Registrar**  
**Yenepoya (Deemed to be University)**  
**University Road, Deralakatte**  
**Mangalore - 575 018, Karnataka**

# **Terms and Conditions of Service of the Employees of the University - Bye Laws (Vol. II)**

**ATTESTED**



Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Manqalore- 575 018, Karnataka





**YENEPOYA**

**(DEEMED TO BE UNIVERSITY)**

**Recognized under Sec 3(A) of the UGC Act 1956**

**Accredited by NAAC with 'A' Grade**

**ATTESTED**

Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoaya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka

# TERMS & CONDITIONS OF SERVICE OF THE EMPLOYEES OF THE UNIVERSITY

## Bye Laws (Vol. II) YU 151-221

Approved by the Board of Management as per resolution (Agenda No. 5) in its meeting held on 11 July 2008

*Terms and conditions of service of teachers working in the University and its constituent colleges – Bye – laws prepared under Rule No.26 (k & l) of the Memorandum of Association.*

*(Amended on BOM dtd.25.01.2016)*

*Terms and conditions of service of teachers working in the University and its constituent colleges – Bye – laws*

*(Amended on BOM dtd.17.02.2018)*

*Terms and conditions of service of teachers working in the University and its constituent colleges – Bye – laws prepared under Rule No. 6.0 of the Memorandum of Association.*

*(Amended on 53<sup>RD</sup> BOM dtd.23/03/2021)*

ATTESTED



Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka

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**ATTESTED**

*le*



( TO BE PUBLISHED IN THE GAZETTE OF INDIA PART-I SECTION-1 )

No. F.9-11/2007-U3(A)

Government of India

Ministry of Human Resource Development

(Department of Higher Education)

U.3(A) Section

Shastri Bhawan, New Delhi-01,

Dated the 11<sup>th</sup> January, 2018

**NOTIFICATION**


Whereas, the Central Government is empowered under Section 3 of the University Grants Commission (UGC) Act, 1956 to declare, on the advice of the UGC, an Institution of higher learning as deemed to be University.

2. And whereas, in exercise of the powers conferred by Section 3 of the UGC Act, 1956, the Central Government vide its Notification No.9-11/2007-U3(A) dated 27.02.2008, on the advice of UGC, had declared Yenepoya University, Mangalore, Karnataka consisting of Yenepoya Dental College, Mangalore as "deemed to be University", with effect from the date on which the aforesaid Dental College disaffiliates itself from its affiliating University viz. Rajiv Gandhi University of Health Sciences, Karnataka, Bangalore.

3. And further whereas, the Hon'ble Supreme Court of India vide its judgment Order dated 03.11.2017 in Civil Appeal Nos. 17869-17870/2017 (arising out of SLP(C) Nos.19807-19808/2012) filed by Orissa Lift Irrigation Corp. Ltd Versus Rabi Sankar Patro & Ors. and Civil Appeal Nos.17902-17905/2017 (arising out of SLP C Nos.35793-96/2012) titled as Vijay Kumar & Ors Vs. Kartar Singh & Ors held that UGC shall take appropriate steps for implementing Section 23 of the UGC Act and restraining Deemed to be Universities from using the word 'University' within one month from today.

4. And whereas, Section 23 of the UGC Act, 1956 says "no institution, whether a corporate body or not, other than a University established or incorporated by or under a Central Act, a Provincial Act or a State Act shall be entitled to have the word "University" associated with its name in any manner whatsoever. Provided that nothing in this section shall, for a period of two years from the commencement of this Act, apply to an institution which, immediately before such commencement, had the word "University" associated with its name".


ATTESTED

  
Dr. Gangadhara Somayaji K.S.  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 013, Karnataka



5. Now, therefore, in exercise of the powers conferred under Section 3 of the UGC Act, 1956, the Central Government, as per direction of Hon'ble Supreme Court and on the advice of the UGC, do hereby change the name of "Yenepoya University" to "Yenepoya" by deleting the word 'University' from its name w.e.f. the issuance of this Notification. "Yenepoya" shall not use the word 'University' suffixed to its name but may mention the words "deemed to be university" within parenthesis suffixed thereto.

6. All other conditions mentioned in the earlier Notification dated 27.02.2008 shall continue to be adhered by "Yenepoya".

  
(Sanjay Kumar Sinha)  
Joint Secretary to the Government of India  
Tel: 011-23383432

The Manager,  
Government of India Press,  
Faridabad (Haryana).

Copy forwarded to:-

- 1/ The Secretary, University Grants Commission, Bahadurshah Zafar Marg, New Delhi with the request to review the functioning of "Yenepoya" regarding fulfillment of the conditions of earlier Notification of this Ministry and Rules / Regulations of UGC and other Statutory Councils. It is also requested to make necessary changes in the website of UGC.
2. The Vice-Chancellor, "Yenepoya", Mangalore, Karnataka.
3. The Principal Secretary to the Government of Karnataka, Department of Higher Education, Government of Karnataka Secretariat, MS Buildings, Dr. B. R. Ambedkar Veedi, Bangalore-560001.
4. The Secretary, Dental Council of India (DCI), Aiwan-E-Galib Marg, Kotla Road, Temple Lane, New Delhi-110002.
5. The Under Secretary (ME-P.II), Ministry of Health & Family Welfare, Nirman Bhawan, New Delhi-110011.
6. Press Information Bureau, Shastri Bhawan, New Delhi.
7. The Secretary General, Association of Indian Universities, All India Institute of Medical Sciences, Marg, New Delhi-2.

ATTESTED



Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka



8. Web Master, Department of Higher Education, Shastri Bhavan, New Delhi. It is requested that CMIS Unit may kindly be instructed to display the Notification on the website (Home site) of the Department.
9. Guard file / Notification file.



(Prabhakar Mishra)  
Under Secretary to the Govt. of India

ATTESTED



Dr. Gangadhara Somayaji K.S.  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka

( TO BE PUBLISHED IN THE GAZETTE OF INDIA PART-I SECTION-1 )

No. F. 9-11/2007-U.3(A)  
Government of India,  
Ministry of Human Resource Development  
(Department of Higher Education)

Shastri Bhawan, New Delhi,  
Dated the 27<sup>th</sup> February, 2008

NOTIFICATION

Whereas the Central Government is empowered under Section 3 of the University Grants Commission (UGC) Act, 1956 to declare, on the advice of the UGC, an institution of higher learning as a deemed-to-be-university,

2. And whereas, a proposal was received from Islamic Academy of Education, Mangalore, Karnataka seeking status of deemed-to-be-university in the name of 'Yenepoya University' under Section 3 of the UGC Act, 1956;

3. And whereas, the University Grants Commission have examined the said proposal and vide their communication No.F.28-8/2007 (CPP-I) dated the 23<sup>rd</sup> October, 2007 have recommended conferment of status of 'deemed-to-be-university' to Yenepoya University, Mangalore, Karnataka, comprising Yenepoya Dental College, Mangalore, under Section 3 of the UGC Act, 1956;

4. Therefore, in exercise of the powers conferred by Section 3 of the University Grants Commission Act, 1956, the Central Government, on the advice of the University Grants Commission (UGC), hereby declare Yenepoya University, Mangalore, Karnataka, comprising of Yenepoya Dental College, Deralakatte, Mangalore, as deemed-to-be university for the purposes of the aforesaid Act, with effect from the date on which the aforesaid Dental College is disaffiliated from its affiliating university, viz., Rajiv Gandhi University of Health Sciences, Bangalore, Karnataka;

ATTESTED




Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
City Road, Deralakatte  
Mangalore 575 013, Karnataka



5. The declaration made in para 4 above is subject to further conditions mentioned at Sr. No.5 of the endorsement to this Notification;

6. Neither the Government of India nor the University Grants Commission shall provide any Plan and Non-Plan grant-in-aid to Yenepoya University or its constituent teaching units.




(Ravi Mathur)

Joint Secretary to the Government of India

The Manager,  
Government of India Press,  
Faridabad (Haryana).

Copy forwarded to: -

1. The Secretary, University Grants Commission, Bahadurshah Zafar Marg, New Delhi - 110002.
2. Director, Distance Education Council, Indira Gandhi National Open University, Maidan Garhi, New Delhi.
3. The Under Secretary, (ME-P.II), Ministry of Health and Family Welfare (Department of Health), Nirman Bhavan, New Delhi - 110011.
4. The Secretary, Dental Council of India (DCI), Aiwan-E-Gallib Marg, Kotla Road, New Delhi-110002, with reference to DCI's letter No.DE-15(40)-2007/B-2129 dated 27.11.2007.
5. The Chairman, Yenepoya University, Yenepoya Medical & Dental College Campus, Deralakatte, Mangalore - 575018. The declaration as made in para 4 of this Notification shall be further subject to the following conditions that:-
  - (i) The objectives of the Yenepoya University Trust shall be confined to educational and related social and charitable activities only.
  - (ii) The Deemed-to-be-University institution and the Trust that will be managing it, should not undertake or engage in activities that are of commercial and profit-making in nature.
  - (iii) The Islamic Academy of Education, Mangalore and Yenepoya University Trust shall strictly adhere to the condition imposed by the State Government of Karnataka (Health & Family Welfare Department)

**ATTESTED**  
  
Dr. Gangadhara Semayaji K.S.  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore - 575 018, Karnataka



while issuing its NOC vide its letter No.HFW/233 MPS 2007 dated 17.05.2007 that the 'institution shall be surrendering 25% of seats (both UG & PG) to the State Government'. The Trusts concerned should also enter into an agreement by way of a 'Memorandum of Understanding' with the State Government of Karnataka, as per the latter's direction.

- (iv) The Trusts concerned shall also adhere to the policy of the State Government of Karnataka on admission of students to Medical and Dental Colleges as stipulated from time to time.
- (v) The corpus fund created by the Yenepoya University Trust should be irrevocable in nature and should not be liquidated without the prior consent of the UGC. Accordingly, Yenepoya University Trust shall submit an undertaking in this respect to the UGC immediately and also take necessary action in consultation with the UGC to ensure irrevocability of the corpus fund.
- (vi) The academic programmes being offered or to be offered by Yenepoya University will conform to the norms and standards prescribed by the relevant Statutory Councils such as the UGC, DCI, etc. Yenepoya University shall not offer / award, as the case may be, any degrees that are not specified by the UGC. Yenepoya University shall also ensure that the nomenclatures of the degrees, etc. to be awarded by it are specified by the UGC under Section 22 of the UGC Act, 1956.
- (vii) Yenepoya University shall not start new academic courses without obtaining prior approval of Ministry of Health and Family Welfare and/or the concerned Statutory Councils such as DCI, etc., as the case may be.
- (viii) Yenepoya University, as a deemed-to-be-university, shall award degrees in respect of the courses run by the Yenepoya Dental College only to those students who are admitted subsequent to the date of this notification. Accordingly, it shall make admission and enrolment of students to the academic courses of the Yenepoya Dental College under it (i.e. under Yenepoya University) only with effect from the ensuing academic year (i.e. from 2008-2009).
- (ix) As for the students who were already admitted to Yenepoya Dental College prior to the date of this notification, they shall continue to pursue their courses of study under affiliation to the present affiliating university, namely, the Rajiv Gandhi University of Health Sciences (RGUHS) Karnataka, Bangalore, which shall conduct examinations for them and award degrees to them upon successful completion of the courses/programmes of study they are pursuing at the college presently.

ATTESTED




Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka




- (x) Yenepoya University shall take immediate action to start doctoral programmes.
- (xi) All the prescribed norms and procedures of the relevant Statutory Councils, such as UGC, DCI, etc. and other authorities concerned in the matter of admission of students, intake capacity of students, starting of new courses/ programmes, renewal of approval to the courses, etc. will continue to be in force, and shall be adhered to by the Yenepoya University.
- (xii) Yenepoya University shall take all the required steps to get itself rated for valid accreditation by the National Assessment and Accreditation Council (NAAC) in terms of instructions issued by the UGC vide its circular No.F.6-1(7)/2006(CPP-I) dated the 12<sup>th</sup> March, 2007.
- (xiii) Yenepoya University shall not conduct any distance education programmes without prior approval of UGC and Distance Education Council (DEC). The guidelines issued by both the DEC and the UGC from time to time in the matter of imparting education through distance mode have to be complied with by it.
- (xiv) Yenepoya University shall not start and run any study centre / off-campus centre / off-shore campus without obtaining the requisite prior approval of the UGC/ Government of India, as the case may be.
- (xv) As and when necessary, the Yenepoya University Trust shall suitably amend and update its MoA/Rules in consultation and in concurrence with the UGC. Specific changes/amendments, if any, suggested by the Government of India or UGC shall also be carried out by the deemed-to-be-university institution in its MoA/Rules with the approval of the UGC.
- (xvi) The Bye-laws, MoA/Rules and Regulations of the Yenepoya University shall contain the names of the constituent unit(s) that will form integral part of the Deemed-to-be-University institution.
- (xvii) Yenepoya University shall strictly abide by all the norms and guidelines as laid down by the UGC and other Statutory Councils such as Dental Council of India, etc. from time to time, as are applicable to institutions notified as 'Deemed-to-be-Universities'
- (xviii) Suggestions, if any, made by the UGC's Expert Visiting Committees during its visit of the institute should be followed by Yenepoya University so as to rectify deficiencies, if any, to bring about the recommended improvement.

6. Vice Chancellor, Rajiv Gandhi University of Health Sciences (RGUHS), Karnataka, 4<sup>th</sup> 'T' Block, Jayanagar, Bangalore - 586041. The University is expected to take action in accordance with Endorsement regarding


**ATTESTED**  
  
 Dr.Gangadhara Somayaji K.S.  
 Registrar  
 Yenepoya(Deemed to be University)  
 University Road, Deralakatte  
 Mangalore- 575 018, Karnataka

students already enrolled with it at the Yenapoya Dental College, Mangalore as per the assurance given by it vide its letter Ref. Auth/Misc/NOC-211/2007-2008, dated 27.11.2007.

7. The Principal Secretary to the Government of Karnataka, Department of Higher Education, Government of Karnataka Secretariat, Vidhana Soudha, Bangalore-560001.
8. The Secretary to Government of Karnataka, Health & Family Welfare Department (Medical Education), Karnataka Government Secretariat, Vikasa Soudha, Dr. B.R. Ambedkar Road, Bangalore - 560001.
9. Director of Medical Education, Ananda Rao Circle, Bangalore - 560009.
10. Press Information Bureau, Shastri Bhawan, New Delhi-110001.
11. The Secretary-General, Association of Indian Universities, A.I.U. House, 16 Kotla Marg, New Delhi - 110002.
13. Director (Administration) & Web Master, Department of Higher Education, Shastri Bhawan, New Delhi with the request to issue necessary instructions to the CMIS Unit to display this notification on the website of Department of Higher Education.
14. Guard file / Notification file.

  
(Ravi Mathur)  
Joint Secretary

ATTESTED

  
Dr. Gangadhara Somayaji K.S.  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka



University Road, Deralakatte, Mangaluru – 575 018

Date: 31.03.2021

### **RESOLUTION**

**Sub: Proceedings of Byelaws Committee meeting held on 19.3.2021 – reg.**

**Ref: 53<sup>rd</sup> meeting of the BoM held on 23.03.2021-Agenda 16.**

As discussed under Agenda 16 of the 53<sup>rd</sup> Board of Management Online meeting held on 23<sup>rd</sup> March 2021, it was resolved to approve the Proceedings of Byelaws Committee meeting held on 19.3.2021.

Dr. Gangadhara Somayaji K.S.

Registrar Registrar  
YENEPOVA  
(Deemed to be University)

Encl:

Proceedings of Byelaws Committee meeting held on 19.3.2021.

ATTESTED

Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka





YENEPOYA

(DEEMED TO BE UNIVERSITY)

Recognized under Section 3 of the UGC Act 1956  
All India Council for Technical Education (AICTE) Approved

University Road, Deralakatte, Mangaluru – 575 018

No.YU/REG/PA/BOM-42/Not/2018


Date: 24.2.2018

**NOTE**

Sub: Proceedings of Byelaws Committee meeting - reg.

Ref: 42<sup>nd</sup> BoM meeting held on 17.2.2018 – Agenda 14.

The Board of Management at its meeting held on 17<sup>th</sup> February 2018 has **approved** the proceedings of the Byelaws Committee meeting held on 17<sup>th</sup> February 2018. The Board of Management has directed that, wherever the UGC Regulations are in conflict with the Byelaws, the UGC Regulations shall prevail.

  
Registrar  
Yenepoya University

To:

✓ Academics – for further action.

**ATTESTED**



Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka



No. YU/REG/PA/BOM-34/Resolution/2016

Office of the Registrar  
University Road  
Deralakatte  
Mangalore - 575018  
Ph: 0824-2204667/68/69  
Fax: 0824-2203943  
Date: 05.02.2016

### RESOLUTION

Sub: Proceedings of Byelaw Amendment Committee meeting-reg.

Ref: 34<sup>th</sup> meeting of the BoM held on 25.01.2016 – Agenda 14.

It was resolved to approve the proceedings of Byelaw Amendment Committee meeting held on 25<sup>th</sup> January 2016.

A handwritten signature in blue ink, appearing to read 'Shree'.

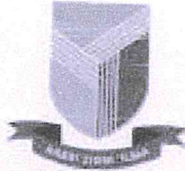
Registrar  
Yenepoya University

To:  
Academics.

**ATTESTED**

A handwritten signature in green ink, appearing to read 'Gangadhara'.

Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka



**YENEPOYA  
UNIVERSITY**

Recognized under Sec 3(A) of the UGC Act 1956 as per  
Notification No. F.9-11/2007-U.3 (A) dated 27th February 2008

No. YU/REG/ BOM 3/ Not/ 2008

Date: 15.07.2008

**NOTIFICATION**

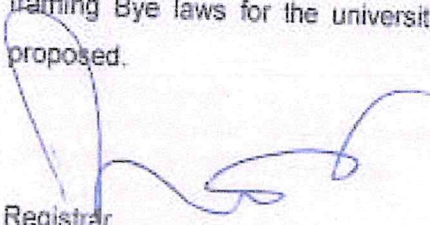
**Sub: Approval for the Byelaws of Yenepoya University – reg.**

**Ref: 1. Proceedings of the meeting of the Sub Committee of Bye laws  
of the University.**

**2. 3<sup>rd</sup> BoM meeting held on 11.07.2008, Agenda 5.**

\*\*\*\*\*

The Board of Management at its third meeting held on 11.07.2008 has approved the proceedings /recommendation of the Subcommittee constituted for the purpose of framing Bye laws for the university, and has resolved to accept the Byelaws as proposed.

  
Registrar  
Yenepoya University

– Registrar –  
Yenepoya University  
University Road, Deralakatte  
Mangalore - 575 018

**ATTESTED**



Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepoya(Deemed to be University)  
University Road, Deralakatte  
Mangalore- 575 018, Karnataka

## **YENEPOYA UNIVERSITY**

### **MANGALORE**

In exercise of the powers conferred by Rule 5 (iv) of the Memorandum of Association of the Yenepoya University, Mangalore hereby makes the "SERVICE CONDITIONS" providing for the Terms and Conditions of Service of the employees of the Yenepoya University, Mangalore (including its Officers).

### **CHAPTER – I**

#### **YU 151 Short Title and Commencement:**

These Bye-Laws may be called Yenepoya University, Mangalore (Employees) Service conditions.

#### **YU 152 Extent of Application:**

The employees including officers working in the Yenepoya University, except where it is otherwise expressed or implied shall apply to all the full-time employees of the Yenepoya University.

#### **YU 153 Right to interpret:**

The Chancellor of the Yenepoya University, shall have the right to interpret these Bye-Laws.

#### **YU 154 Powers of relaxation:**

The Chancellor may, at his discretion; exempt any such employees or class of employees from any provisions of these Bye-Laws or may direct that such provisions shall apply to said employees with such modifications not affecting the substance thereof as may be specified.

#### **YU 155 Validity of Terms of Contract:**

The terms of specific contract enforceable as provided by the Memorandum of Association, 2007, necessarily override the provisions of these Bye-Laws.

#### **YU 156 Exercises and Delegation of Powers (under these Bye-Laws):**

No powers may be exercised or delegated under these Bye-Laws, except in consultation with the Appointing Authority, as mentioned in the Memorandum of Association of the Yenepoya University.

#### **YU 157 Definitions:**

The definitions given in the Memorandum of Association of the Yenepoya University, shall hold good for the purpose of these Bye-Laws. In these Bye-Laws unless the context otherwise requires.



1. **“Yenepoya University”** means the Yenepoya University established by the official gazette by the Department of Secondary and Higher Education, Ministry of Human Resource Development, Government of India.
2. **'Agreement'** means the contract (**implied or otherwise**) entered into in writing between the employee and the Competent Authority/ officer or the person authorized by the Yenepoya University; **(Amended on 11.10.2010)**
3. **'Appendix'** means appendix appended to these Bye-Laws;
4. **'Appointing Authority'** means the Authority competent to make the appointments under the Memorandum of Association of the Yenepoya University;
5. **'Authority'** means the Authority (ies) of the Yenepoya University as provided by or under the 1 Memorandum. of Association of the Yenepoya University;
6. **'Board of Management'** means the Board of Management of the Yenepoya University;
7. **'Chancellor'** means the Chancellor of the Yenepoya University;
8. **'Cadre'** means strength of the service or a part of service, sanctioned as a separate unit, by the Yenepoya University, from time to time;
9. **'College'** means constituent college of the Yenepoya University;
10. **'Competent Authority'** means the Authority competent to exercise different powers in the Bye-Laws specified herein;
11. **'Continuous Service'** means service rendered by the employee, under the same Appointing Authority without any break.
12. **'Controller of Examinations'** means the Controller of Examinations of the Yenepoya University;
13. **'Disciplinary Authority'** means the Authority or the officer authorized to take disciplinary action against the employee, except otherwise as provided in the Memorandum of Association of the Yenepoya University;
14. **'Duty'** means the compliance of the things the employee is expected to do by virtue of taking a job or assuming an office and as explained in these Bye—Laws;
15. **'Employee'** means an employee including officers duly appointed in the employment of the Yenepoya University and/or its colleges.
16. **'Employer'** means Yenepoya University, Mangalore.
17. **'First Appointment'** means the appointment of a person who has not held any appointment, for the time being, under the Yenepoya University.
18. **'Finance Officer'** means Finance Officer of the Yenepoya University;
19. **'Funds of Yenepoya University,'** means the funds created **or owned by** the Yenepoya University;;  
**(Amended on 11.10.2010)**
20. **'Grievances Redressal Committee'** means a Grievances Committee constituted under the Memorandum of Association;
21. **'Holiday'** means a Sunday, a weekly off or any other day declared as holiday by the Yenepoya University;

22. '**Joining Time**' means the time unit prescribed for and the period availed of by the employee to join a new post to which he is transferred or appointed and includes period of travel to or from a place to which he is posted;
23. '**Leave**' means permission granted by the Competent Authority to the employee to remain absent from duty;
24. '**Medical Authority**' means the Medical Officer appointed by Competent Authority or Medical Board constituted by the Competent Authority, as the case may be, or the registered medical practitioners included in the panel approved by the Board of Management;
25. '**Month**' means a calendar month i. e. any one of the twelve portions into which the conventional year is divided, or a period from any day in one month to corresponding day of the next calendar month;
26. '**Officiate**' means to carry out function and/or duties of the post on which another person holds a lien or of the vacant post on which no other employee holds alien;
27. '**Permanent Post**' means the post, carrying a definite scale of pay, sanctioned without time limit, by the Yenepoya University, from time to time;
28. '**Principal**' means a Head of the College duly appointed by the Board of Management and shall include Director or Dean.
29. '**Pro Forma**' means a form appended to these Bye-Laws;
30. '**Provident Fund**' means the Yenepoya University Staff Contributory Provident Fund as per Government of India Rules;
31. '**Post Retirement Benefits**' shall mean and include the contributory provident fund and gratuity, as decided by the Yenepoya University, from time to time;
32. '**Registrar**' means the Registrar of the Yenepoya University;
33. '**Salary**' means total monthly emoluments drawn by the employee and includes pay and allowances admissible from time to time;
34. '**Scale of pay**' means pay which, subject to any conditions prescribed in these Bye-Laws, rises by periodical increments from a minimum to maximum;
35. '**Scheme**' means a research programme sanctioned or approved by the funding agencies for a definite period;
36. '**Subsistence Allowance**' means monthly payment made to the employee, who is not in receipt of pay or leave salary during the period of his suspension;
37. '**Substantive Appointment**' means an appointment made in a substantive or a permanent capacity in a permanent post which is clearly vacant;
38. '**Temporary Appointment**' means an appointment on a purely temporary basis or for a stipulated period;
39. '**Tenure Post**' means a post which the employee may not hold for more than a limited time without reappointment or a temporary post which is sanctioned/created for specific limited period only;
40. '**Transfer**' means the transfer of the employee from one post to another post in the same or different cadre at the same or another station, either to take up the duties of other post or in consequence of change of headquarters;

41. **“Trainee”** means the employee with or without any previous experience, appointed purely as a trainee in Yenepoya University, or its colleges for specific period, usually twelve months; Provided that, such a employee shall not have any right on the permanent post

**(Amended on 11.10.2010)**

42. **“Probation”** means an employee, with previous experience outside the University, appointed on probation in the Yenepoya University or its constituent colleges for a specific period, usually twelve months.

43. **'Vice-Chancellor'** means the Vice- Chancellor of Yenepoya University,

44. **'Working hours'** means the working hours prescribed by the Board of Management for the employees working in the Yenepoya University, and/or its colleges, from time to time;

## CHAPTER-II

### CLASSIFICATION & RECRUITMENT

**YU 158: Appointment:** All the appointments of employees whether full-time, part-time, trainee, honorary or on All contract basis shall be made by the Registrar on the recommendations of the selection committees and after the approval of the Board of Management under these Bye-Laws;

**YU 159: Classification:**

The employees of the Yenepoya University shall be classified as follows:

1. **Group A** officers shall include Registrar, Controller of Examinations, Finance Officer, Law Officer, Executive Engineer, Deputy Registrar, Deputy Controller of Examinations, Deputy Finance Officer and such other employees so designated by the Yenepoya University, as Group A officers, from time to time;
2. **Group B** Officers shall include Assistant Registrar, Assistant Controller of Examinations, Assistant Finance Officer, Assistant Executive Engineer, Public Relations Officer And such other employees so designated by the Yenepoya University as Group B officers, from time to time;
3. **Group C** employees of the Yenepoya University shall include Superintendents, Senior Assistants, **Sr. System Administrator, System Administrator, I.T.Technician, I.T.Assistant**, First Division Assistants, Second Division Assistants, Laboratory Assistants and Technicians, Stenographers/Computer operators and Drivers such other employees considered as equivalent, by the Yenepoya University as Group C employees, from time to time;  
*(Amended in BOM held on 17.08.2013)*
4. **Group D'** Employees shall include the employees such as Attenders, Watchmen, Sweepers and such other employees so designated by the Yenepoya University, as Group D' Employees, from time to time. **(Amended in BoM held on 11.10.2010)**

**YU 160: Recruitment:**

The appointments to the post(s) included in **Group A to D** ~~(except of the Registrar)~~ shall be made by the Registrar on the recommendations of the selection committee and after the approval of the Board of Management. ~~An Appointment Letter~~ to the Registrar shall be issued by the Vice Chancellor.

**(Amended on 11.10.2010)**

**YU 161**

1. The appointment to the post(s) of class A, B, C and D shall be made either by selection or by promotion or by deputation or on contract basis. A separate rule shall be prepared and placed before the Board of Management.  
**(Amended on 08.09.2012 BOM meeting)**
2. The Board of Management shall be the Appointing Authority for the employees in **Group A, B, C and/or D**

**A. By Promotion:**



1. The appointment by promotion in **Group A, B, C and/or D**. shall be made on the basis of seniority cum merit from amongst the person(s) in the immediate lower cadre;
2. The person who is to be promoted to **Group A, B, C** or post(s) within **Group D**, shall have three years experience in the immediate lower cadre or in case of class IV, in the post next below the post to be promoted.
3. For determining the merit, the annual confidential reports for immediate past three reporting years shall be taken into account.

**B. By Selection: 1)**

- a. Registrar, - Convenor
- b. Controller of Examinations
- c. Finance Officer
- d. Heads of the Concerned Departments/ Sections

**Committee shall adhere to the rules and regulations as specified in the advertisement**

- i. The Scrutiny Committee shall verify all the documents submitted by the candidates and after verification of the documents, shall recommend the names of the candidates to be called for the interview.
  - ii. Ordinarily, the suitable and qualified candidates with higher merit shall be invited for the interview and shall not exceed the following ratio and of number of posts to number of candidates: 1:8,2:14,3:20,4:26,5:32, and for more than five vacancies, the candidates invited shall be up to five candidates per vacancy to fill in.
  - iii. The date of the meeting of the Selection Committee shall be fixed so as to allow a notice of at least thirty days of such meeting being given to each candidate; and the particular of each candidate shall be sent to each member of the Selection Committee so as to reach him at least fifteen days before the date of the Selection Committee meeting. Provided, if there is urgency and the circumstances dictate and early action is needed, the candidates and the selection committee members may be contacted electronically within three days for the selection of candidates.
  - iv. In case of extraordinary circumstances the VC may appoint a person giving valid reasons when the person so appointed fulfils the qualification and the requirements, subject to ratification by the BoM.
2. The appointments to lowest post(s) in class I, II, class III and class IV; shall be made; out of the applications of the eligible candidates who possess the required qualifications and / or experience for the post(s); received in the office of the Yenepoya University.
  3. The appointment to the posts of all categories shall be made by following the duly accepted selection procedure as laid down in these Bye-Laws from time to time;
  4. The appointments to various posts of class I to IV categories shall be made by the Registrar on the recommendations of the selection committee and after the approval of the Board of Management.
  5. The constitution of the selection committee shall be as below:
    - i. The Vice - Chancellor, Chairman
    - ii. Two nominees of the Chancellor, of whom one shall be from the Board of Management

- iii. The concerned section head/ expert to be co-opted, as necessary.\*
  - iv. Registrar – Member Secretary
6. The constitution of the selection committee shall be as below:
- i. The Vice – Chancellor - Chairperson
  - ii. Registrar – Convener
  - iii. External Expert
  - iv. Finance Officer – Member
  - v. Concerned HOD's
7. Deleted
8. The list of selected candidates shall be placed before the BoM for approval.
9. The Registrar shall appoint the employee strictly as per the recommendations of the selection committee and as approved by the Board of Management.

**(Amended on 11.10.2010)**

### **Deputy Registrar or Equivalent Post**

#### **Qualifications**

The appointment by selection to the post of Deputy Registrar or equivalent post shall be made from amongst the persons:

- i. Who possess post-graduate degree of any statutory university and diploma in computer
- ii. Who are not less than thirty five years of age and not more than forty five years of age, unless already in the service of the Yenepoya University or any other organization.
- iii. Who have administrative experience of at least three years in the cadre of Assistant Registrar or equivalent cadre in the Yenepoya University or any other organization.
- iv. The selected candidate shall be on probation for a period of two years, during which he shall have to pass the Departmental Examination, if any, as prescribed or on the evaluation of the Assessing Authority, as prescribed.

### **Assistant Registrar or Equivalent Post.**

The appointment by selection to the post of Assistant Registrar or equivalent post shall be made from amongst the persons:

- i. Who possess a graduate degree of statutory university with diploma in computer **ability of using computers in different areas of office work** and any other desirable qualifications if any, prescribed by the Appointing Authority.
- ii. Who are not less than thirty years of age and not more than forty years of age unless already in the service of the Yenepoya University and its colleges or any other organization.
- iii. Who have administrative experience of at least three years as a Superintendent, or equivalent cadre in the Yenepoya University or any other organisation.

The selected candidate shall be on probation for a period of two years; during which he shall have to pass the Departmental Examination, if any, as prescribed or on the evaluation of the Assessing Authority as prescribed.

### **Ministerial and Technical Post in Group C**

- A. The appointment by selection/promotions to the post of Superintendent or equivalent post shall be made from amongst the persons:
- i. Who possess degree of statutory university with diploma in computer and/or any other desirable qualification prescribed by the Appointing Authority.
  - ii. Who are not less than 25 years of age and not more than forty years of age unless already in the service of the Yenepoya University and its Constituent College or any other organization.
- B. The appointment by selection/ promotions
- i. Senior Assistants, First Division Assistants, Second Division Assistants
  - ii. Laboratory Assistants, Laboratory Technicians
  - iii. Stenographers/Computer operators
  - iv. Staff Nurses, Nursing Aids. And any other posts under non teachi/ng cadres B, C and D which are not specified shall be made from amongst persons.
- i. Who possess the qualifications prescribed by the respective national regulatory Bodies/Yenepoya University in each case.
  - ii. Who are not less than 18 years of age and not more than 40 years of age.

*(Amended on 07.04.2014 BOM meeting)*

The selected candidate shall be on probation for a period of two years, during which he will have to pass the Departmental Examination, if any, as prescribed or on the evaluation of the Assessing Authority as prescribe

**YU 162 Deleted vide BoM dt. 11.10.2010**

**YU 163: Non-Ministerial Post included in class IV Group D:**

The appointments to posts in the lowest cadres of Group D Shall be made by selection from amongst the candidates-.

- i. Who have passed S.S.C or equivalent examination.
- ii. Who are not less than eighteen years of age and who are not more than thirty years of age; and
- iii. The selected candidate shall be on probation for a period of two years.

In exceptional cases, the age limits as prescribed above may be relaxed on the discrimination of the Selection Committee and ratified by the Board of Management.

**CHAPTER-III**  
**APPOINTMENTS**

**YU 164: Appointment:**

**Appointing Authority for all the employees shall be 'the Board of Management.**

- i. The Appointing Authority shall appoint the person(s) to various posts by selection from amongst the persons as recommended by the selection committee strictly in order of merit.
- ii. The appointment order shall be in the proforma prescribed by the Yenepoya University
- iii. The person appointed on a post shall produce a Medical Fitness Certificate from the competent Medical Authority, before reporting for duty.
- iv. The person appointed on a post shall produce the authentic proof of the date of birth before reporting for duty.

**Amended vide BoM dt.11.10.2010**

**YU 165: Service**

1. The person appointed in the service of the Yenepoya University shall sign a contract in the proforma given in the Appendix No. II.
2. The service of the employee shall commence from the date on which he joins the duties in the forenoon, otherwise from the next date..,
3. The service of the employee shall cease from the date on which he relinquishes his post in the afternoon.
4. If the employee expires while in service, he shall be deemed to have ceased to be in service from the next day, irrespective of the hour at which he died.

**(Amended vide BoMdt.11.10.2010)**

**YU 166: Probation**

1. (a) The appointment to a permanent post by selection shall be on probation for a period of two years which may be extended by one year.  
(b) The employee appointed by promotion to a permanent post due to be filled in by promotion, shall, subject to the provisions of this Bye- Laws, be confirmed after a period of two years, subject to his satisfactory performance.
2. During the period of probation, the employee shall comply with the conditions of successful completion of the probation as prescribed.
  - a. Head of the College or Division, shall be the Assessing Authority under whom the employee on probation is working. He shall submit an employee's assessment report to the Appointing Authority every six months from the date of his joining as prescribed in Appendix No.111.
  - b. Deficiencies, adverse remarks, if any, mentioned in the assessment report shall be communicated to the employee for his guidance and improvement.
  - c. The last assessment report shall be submitted at least three months prior to the expiry of probationary period with specific recommendations of confirmation or otherwise.
3. On receipt of assessment reports, and consideration of them and subject to condition of passing departmental examination, if any, during the probationary period, the Appointing Authority may-
  - a. Confirm the employee on probation in the service from a specific date.



- b. Extend the period of probation for not more than a year, six months at a time, on expiry of which he shall either be confirmed or his services shall b-1 dispensed with.
  - c. Terminated his services after giving him one months notice in writing..
  - d. Revert the employee to.the post held by him, if any, under the Yenepoya (Deemed to be University) or its colleges prior to his appointment on probation.
4. If the employee on probation avails leave without pay, his period of probation shall be deemed to have been extended to that
  5. Employees are not eligible for any kind of leave, other than casual leave, during the first year of probation.

**(Amended vide BoM dt.11.10.2010)**

**YU 167 Working Hours:**

1. The working hours of the employee shall be as laid down by the Board of Management, from time to time.
2. The appointing or Competent Authority may change the working hours and weekly holidays as per the administrative convenience. The employee shall discharge the duties and functions during the working hours prescribed by the appointing or Competent Authority.
3. The supervising officer may, if necessary, require the employee under him to work either before or after the working hours then the employee shall comply with orders.

**YU 168 Duties:**

1. It shall be the duty of the employee to lawfully discharge the functions and perform the official tasks assigned to him in accordance with the provisions made in these Bye- Laws and the orders issued, from time to time. The employee shall comply with the obligations attached to the post he holds and perform the specific functions, shall call for specific norms of behavior and avoid the prohibited conduct.
2. The period spent on duty as incorporated in these Bye-Laws shall be treated as the duty period and include-
  - a. Service as a probationer
  - b. Joining Time.
  - c. A course of instructions or training authorized by the Competent Authority.
3. A course of instructions or training authorized by the Authorities like Vice Chancellor, Registrar, Finance Officer, Controller of Examinations and Principal, as the case maybe.
4. Subject to the provisions of these Bye-Laws, the duties of the employees including the officers shall be as specified in Bye-Laws No. 221. The appointing and/or Competent Authority may assign additional specific duties and functions to the employee as and when required and the employee shall comply.

**YU 169 : Transfer :**

1. The Appointing Authority may transfer the employee on a post in the cadre in which the employee is serving. Such employee may be transferred
  1. As administrative exigencies,
  2. As a routine periodical transfer,
  3. As a measure of disciplinary action,or

4. On specific request of the employee.  
The transfer may involve change in the headquarters/ station of work of the employee and the employee may be transferred to any colleges run by the Yenepoya University.
2. The Appointing Authority may, subject to the provisions of these Bye-Laws or on specific request by the employee, transfer the employee to another post in a lower cadre.
- 3.
- a) If the employee requests specifically for a transfer to another equivalent cadre, the Appointing Authority may examine the merits and relative utility in granting the request and issue the order accordingly.
- (b) If the Appointing Authority is of the opinion that the service of the employee is more useful in another equivalent cadre, it may transfer him to any such cadre.
4. Joining time on transfer:
- a) When the transfer involves change from one station to another, joining time of seven days including Sunday and holidays will be given.
- \*b) Joining time of one day is permissible when the transfer is to a new office but does not involve change of residence or when there is change of office in the same station.
- \*c) Joining time shall not be admissible when the transfer does not involve actual change of office.

**YU 170: Assessment:**

1. The Assessing Authority shall prepare the assessment report in the proforma prescribed in the Appendix No. IX, in respect of an employee placed under his control. If the employee has worked under the Assessing Authority for a part of the year, that Authority shall write the report for such a period.
2. The assessment report shall be reviewed by the officer as prescribed in the Bye-Laws. Such Reviewing Authority shall carefully examine the remarks, adverse or outstandingly good in character, verify the same with the factual position and satisfy himself about the said remarks. If the Reviewing Authority does not agree with the remarks of the Assessing Authority, he shall state the reasons for not agreeing and shall record his own assessment about the work and conduct of the employee.
3. The following shall be the Assessing, Reviewing and Accepting Authorities:

Sl. No	Employee	Assessing Authority	Reviewing Authority	Accepting Authority
1.	Registrar, Controller of Examination, Finance Officer	Vice Chancellor	Vice Chancellor	Vice Chancellor
2.	All other Group A Officers working in the office of the Yenepoya University	Registrar/ Controller of Examinations/ Finance Officer As the case may be	Registrar	Vice Chancellor
3.	Group B	Same as Above	Registrar	Vice Chancellor
4.	Group C and D	Concerned Heads of the Institutions/ Departments/ Sections	Registrar	Vice Chancellor

4. The adverse remarks in the assessment report, if any, shall be brought to the notice of the employee, in writing, within three months from the end of assessment year. The adverse remarks not duly communicated to the employee shall be disregarded. Adverse remarks not duly communicated to the employee shall be disregarded.
5. The employee, who has been communicated adverse remarks, may within thirty days of receipt, represent his case in writing to the Reviewing Authority. The Reviewing Authority, in consultation with the Assessing Authority, may recommend to expunge or retain such remarks and the Accepting Authority's decision shall be final and shall be recorded in writing.
6. The assessment report of the employee shall be the basis for determining his merit. His/Her record of the service shall be deemed to be satisfactory if there is nothing adverse in the report for the previous three reporting years. The adverse remarks not duly communicated in writing to the employee within three months shall be disregarded for the purpose.
7. In the case of a Group –D employee the Competent Authority may not follow the procedure of writing the confidential assessment report. However, information regarding his outstanding performance, misconduct or any other lapses on the part of such employee be obtained from the concerned Head and communicated to that employee in writing and the same shall be recorded in his service book.

Provided that, in the case of the Group –D employee, if such a record is not available, the Competent Authority shall presume that his conduct is good and he shall be given all the benefits such as promotion, increments, etc. However, he shall not be eligible for advance increments or preferential promotion without an express record of his outstanding performance. Similarly he shall not be compulsorily retired from the services unless there is adverse documentary evidence to that effect in his personal file.

**(Amended vide BoM dt. 11.10.2010)**

### **YU 171 : Service Book**

1. A service book, as prescribed by Yenepoya University, shall be maintained by the Registrar for every employee working in the Constituent Colleges of or Yenepoya University
2. The service book shall contain the record of service of each employee covering all essential events in his official career such as (a) date of birth (b) caste (c) marks of identification (d) permanent address (e) date of first appointment, (f) subsequent appointment(s) or transfer(s) to higher, equivalent or lower grade, (g) substantive or officiating nature of appointment, (h) the scale of pay applicable (j) basic pay, (k) increment sanctioned, (l) stoppage of increment; for any reason(s), (m) punishment with relevant offence or misconduct, (n) leave, except casual leave granted from time to time, (o) name(s) of the legal successor; (p) such other relevant entries.
3. The date of birth of the employees shall be carefully recorded in the service book at the time of joining the service in the Yenepoya University or its colleges and shall be verified with reference to the documentary evidence such as school leaving certificate; S.S.C. or extract of birth register from appropriate Authority, such as

municipal council or corporation, village record etc. However, any other document such as horoscope or an affidavit shall not be considered as an authentic document for this purpose.

4. Whenever the employee is reduced to a lower rank, removed or dismissed from the service or suspended from- services, action taken and the reasons thereof shall be briefly recorded in the service book with 'due authentication by the Competent Authority.
5. The Appointing Authority shall keep the service book in safe custody and shall not b, allowed to remain with the employee.
6. The employee may peruse the entries in his service book to ensure that the service record is correctly maintained. All the entries shall be shown to the employee at the end of every year and his signature obtained thereon.
7. A duplicate copy of the service book may be supplied to the employee on a specific request.
8. The Appointing Authority may periodically verify the service book of each employee for correctness of entries.
9. The service book shall be retained in the office after the employee ceases to be in service permanently.

**(Amended vide BoM dt. 11.10.2010)**

**YU 172: Service Record**

1. The appointing/Competent Authority may retain the assessment reports and other reports of the employee in a separate confidential file. The copies of letters appreciation- for-good work or memos for behavior - orders- granting-additional increment(s) or promotion, orders inflicting penalty or punishment, shall be kept in such a confidential file.
2. A personal file shall be maintained for every employee immediately on his appointment and all orders and papers in connection with his official record shall be properly maintained therein.

**YU 173: Seniority:**

1. The seniority of the permanent employees of the Yenepoya University and/or its colleges shall be with reference to the date of confirmation.
2. The seniority of the employees selected at the same interview shall be as per order of preference given by the selection committee, irrespective of the dates of their joining. If these employees complete the probation satisfactorily and are confirmed within the stipulated period, their seniority shall not be affected.  
However, if the period of probation and date of confirmation of an employee are postponed due to the leave available of, or due to unsatisfactory performance, the seniority of the employee shall be determined with reference to the date of his confirmation.
3. The employee reverted to the lower cadre shall regain his seniority in that cadre which he would have acquired had he not been promoted.
4. If the employee requests for change in the cadre of equivalent level, the Competent Authority, may examine the merit of the request and relative utility in granting the request, and may grant the same.
5. The seniority list of all the employees in a cadre shall be prepared, as on 31st March of every year. The provisional seniority list shall be made available to the employee for a reasonable inspection and for submission of claim(s) and/or objection(s), if any. After consideration of claims and objections, if any, of the employee(s) in the



cadre, the Appointing Authority shall prepare the final seniority list and display the same at the end of every calendar year. The employee not satisfied with his entries in the final seniority list may appeal to the Grievances Redressal Committee. The report of the Grievance Redressal Committee shall be placed before the Board of Management, whose decision shall be final and the same shall be incorporated in subsequent seniority list.

**(Amended vide BoM dt. 11.10.2010)**

**YU 174: Incapacity:**

The employee shall be considered to be incapacitated to discharge his duties either on physical or mental grounds and for the reasons stated below or otherwise as may be determined by the competent Medical Authority.

1. The employee may be considered as physically incapacitated,
  - a. If he has been seriously injured or lost his limb and thereby has become unable to the Perform His Duties;
  - b. He has become incapable of performing his duties due to severe illness such as paralysis, heart attack, cancer, leprosy, AIDS, etc.

The employee may be considered mentally incapacitated to render his services, if,

- c. He has become insane.
  - d. He is not capable of meeting with the requirement of the post to which he is appointed, despite his mental equilibrium having been properly set. ay
  - e. He has lost his control on his mental functions and is incapable of foreseeing the consequences of any of his actions.
3. Wherever an employee is to be declared incapacitated either physically or mentally his case be referred to the Medical Board which is to be constituted by the Board of Management.
  - a. After receiving the medical report from the Medical Board, the Competent Authority shall take the final decision.
  - b. The mental or physical incapacity to function efficiently in his existing post may be treated as incapacity for continuing him in the same post or appointment in higher or lower posts, provided the incapacity is well proved. The Competent Authority may adopt such a procedure judiciously. The Competent Authority shall, however, endeavor to see whether the employee can perform the assigned duties if he is provided with alternate service in an equivalent post or any other post. The employee or his representative shall be given full opportunity to represent his case.
  - c. The employee declared incapacitated either physically or mentally shall be retired from the service of the University and/or its colleges by the Appointing Authority with effect from the date of medical report. The employee concerned shall be eligible for the gratuity, provided if he fulfills the minimum requirements as laid down by the Yenepoya University, from time to time.

**CHAPTER-IV  
PAY AND ALLOWANCE**

**YU 175: Pay:**

1. The employee of the Yenepoya University and/ or its Colleges shall, unless otherwise directed, be entitled to receive the pay, for the services rendered, in the scale of pay prescribed for the cadre in which the employee is appointed, with effect

from the commencement upto the cessation of the service in the Yenepoya University.

2. The Pay scales for all the employees shall be as prescribed by the Yenepoya University from time to time.
3. The initial pay of the employee appointed in the Yenepoya University and/or College shall be minimum of the scale of pay;

**YU 176: Pay on Reversion**

1. A promoted employee on reversion shall draw pay in the lower scale of pay, which may not be less than that which he would have drawn, had he not been so promoted.
2. In case the employee is reverted as a measure of punishment on account of misconduct, the Appointing Authority may fix his pay at any lower stage in the lower scale of pay.  
Provided that, the subsistence allowance already paid to the employee shall be fully recovered either from the pay and allowances, as the case may be or from the leave salary payable to him,
3. When the employee is reverted on account of misconduct or inefficiency to a post carrying lower scale of pay, and is subsequently promoted or reinstated, his previous service in the post from which he was reverted, shall be counted for increment unless the Competent Authority declares that it shall not be so counted either in whole or part.

**YU 177 Increment:**

1. The employee, having his pay in a scale of pay, shall draw increment every year unless it is withheld for some reason(s). The benefit of increment falling due on any date of the calendar month shall be extended to the employee from the first date of that calendar month, without affecting the date of increment(s)
2. The Competent Authority while withholding an increment(s) shall expressly state in the order the period for which increment has been withheld, and whether it shall be inclusive or exclusive of any interval spent on leave before the period is completed.
3. If the employee is promoted to a higher grade/post, he shall draw the increment on completion of full period for increment in the higher post and higher scale of pay.
4. Service rendered, by the employee on probation, in the circumstances mentioned below, shall be counted for increment in the scale of pay:
  - a. The employee on probation shall draw the first increment on completion of one year;
  - b. He shall draw the second increment only on completion of probation satisfactorily, irrespective of the period from the date of first increment;
  - c. The first date of increment shall be extended to the extent of the period for which the employee has availed any leave, while on probation except the casual leave.
  - d. The date on which the employee completes the probation satisfactorily shall be the date of subsequent increment(s), unless the same is modified later due to some reason such as revision of pay, period of extraordinary leave, etc.
  - e. The employee whose probationary period is extended on account of his failure to pass departmental examination, if any; within the prescribed time limit or on account of leave taken by him during the probationary period, shall be allowed to draw, second increment on the completion of the probationary period satisfactorily.

- f. The employee whose probationary period is extended on account of unsatisfactory performance shall be allowed to draw a second increment only with effect from the date of satisfactory completion of the probationary period... Service rendered in the circumstances mentioned below shall count for increment.
  - a. All duties performed by the employee whether continuous or otherwise in a post on a scale of pay,
  - b. Authorized leave other than extraordinary leave,
6. The employee on authorized leave shall draw the annual increment falling due, during the leave period, on the date due, however, shall receive the effect on resumption of duty after expiry of leave, along with the arrears. The leave shall not have effect on the date of increment, except the extraordinary leave which is declared to have effect on the date of increment.
7. The Competent Authority may withhold, by an order in writing, an increment(s) of the employee if his conduct has not been found to be satisfactory, and/or his work has not been satisfactory. The Competent Authority while ordering the withholding of the increment shall state the period for which it is to be withheld and whether the withholding shall have effect on future increments.

**\*Amended vide BoM dt. 11.10.2010**

**YU 178: Allowances**

The employees working in the Yenepoya University and/or its colleges, shall be entitled to only such allowances which are sanctioned by the Board of Management, from time to time.

The Appointing Authority may grant personal pay to the employee to save him from loss of substantive pay in respect of a permanent post, other than a tenure post, due to revision of pay or due to any reduction of such substantive pay otherwise than as a measure of disciplinary action.

**YU 179: Subsistence Allowance:**

1. The employee-under suspension shall be paid the subsistence allowance-at-the rate of half the pay for a period of the first six months, at the rate of 75% of the pay for the period of next six months and at the rate of full pay thereafter. if the period of suspension is prolonged, for reasons not directly attributable to the employee; and the allowances admissible thereon from time to time.
2. The employee under suspension shall be paid the subsistence allowance at the rate of half the pay and the allowances thereon, if the period of suspension is prolonged for the reasons directly attributable to the employee.
3. The employee shall furnish every month the followin<sup>g</sup> certificate before he is paid the subsistence allowance " I certify and declare that I did not engage myself in any private and/or other paid employment, trade or business during the period.....  
 Provided that, if the Competent Authority suspects genuineness of the certificate, he may get the same duly verified, if necessar<sup>y</sup> throu<sup>g</sup>h the police Authorities, and if the employee is found to have furnished a false certificate it shall be construed as an act of misconduct and shall be an additional charge in the enquiry against him.
4. Any other compensatory allowance payable to the employee shall be subject to the extent and the conditions as may be prescribed by the Competent Authority.

5. a. If the employee, under suspension, is undergoing a trial in a criminal court or departmental inquiry under these rules, he shall be provided with the subsistence allowance under clause (1) or (2) above.
- b. If the employee under suspension is convicted by the competent court and sentenced to imprisonment, the subsistence allowance shall be reduced to a nominal amount of Re.1/- (Rupee One) per month till he undergoes punishment or till he deems to be in service of the Yenepoya University and/or its colleges, whichever is earlier.
- c. If the employee under suspension is acquitted on appeal he shall draw subsistence allowance at the normal rate under clause (1) or (2) from the date of acquittal till the disposal of inquiry under these Bye-laws.
6. If the employee under suspension attains the age of superannuation, he shall deem to have been retired and shall not be entitled to any subsistence allowance thereafter. The employee shall be entitled to his own share of contributory provident fund but shall not be entitled to the Yenepoya University share. The OFF share of the Yenepoya University and the gratuity shall be paid to him after final decision of proceedings against him.
7. If the employee under suspension is exonerated and/or it is observed that the suspension was wholly unjustified, the employee shall receive full pay and allowances to which he would have been entitled had he not been suspended.
8. When the employee under suspension is reinstated, after undergoing the punishment/penalty under these rules, unless the Competent Authority has already passed such orders at the time of inflicting the punishment, the Competent Authority may by order state,
  - a. Whether the said period be treated as duty, leave or leave not due and
  - b. the nature of pay and allowances to be paid for the period.

**YU 180: T.A. and D.A:**

The employees required to undertake official tour in the course of discharge of his duty, shall be entitled to travelling and daily allowances as prescribed by the Board of Management, from time to time.



## CHAPTER-V LEAVE

### **YU 181: General Conditions:**

1. The employee shall earn and be entitled to the leave, generally in proportion to the period of service duty and of the kind specified herein below. However, the leave of any kind shall not be claimed as a matter of right.
2. The employee may be granted leave only on his request. The employee may curtail a period of sanctioned leave, with the approval of the Competent Authority. Provided that, in case the employee is contesting the election or has contracted any contagious disease, the Competent Authority may require him to proceed on leave and the employee shall comply.
3. The Competent Authority may sanction or refuse the leave applied for, but shall not alter the nature of leave, except with the request / consent of the employee.
4. The Competent Authority may not grant leave to the employee so as to deplete the strength of service or department below essential minimum.
5. The employee may combine one kind of leave with another, except casual leave, subject to the limit of aggregate period of absence as may be prescribed by the Board of Management.
6. Application for leave on medical ground shall be accompanied by a certificate of Medical Authority, indicating the nature and probable duration of illness. The employee returning from leave on medical ground shall produce a certificate of fitness.
7. If the employee frequently applies for medical leave with short intervals, he may be referred to the Medical Authority to examine the state of his health, the period of recovery and whether he would be fit for duty after the rest and treatment.
8. The employee, on leave, shall not engage himself in any other employment, trade or business, either full- time or part-time.
9. The employee shall resume his duties immediately after the period of leave sanctioned, otherwise it shall be construed as overstay and may entail refusal of leave or leave salary and may be treated as misconduct.
10. The employee appointed on contract basis in a scale of pay shall be entitled to leave in accordance with the terms of the contract entered into by him with the Competent Authority.

### **YU 182 : Casual Leave:**

1. A. The employee shall be entitled to fifteen days casual leave in a calendar year, or as prescribed by the Board of Management, from time to time.  
B. (i) The employee shall obtain a prior permission for casual leave at least one day to the leave applied for. In exceptional circumstances where application of casual leave cannot be submitted before it begins, the employee shall apply for ex post-facto sanction. (Appendix No. IV)  
(ii) If the Competent Authority is not satisfied about the exceptional circumstances, the casual leave availed of without prior permission may be treated as leave without pay.

- B. i. Mass casual leave shall not be treated as casual leave. It may be treated as unauthorized absence and dealt with accordingly. The action of going on mass casual leave-may be treated as misconduct.
- ii. In case the employee(s)is/ are unable to attend duty for reasons of natural calamity, the Competent Authority may sanction the same as casual leave and it shall not amount to mass casual leave.
- C. The employee shall be entitled to not more than five days casual leave at a time. The Sundays and/or public holidays, so also a holiday or a series of holidays, are permitted to interpose between the period of casual leave. However, the total period of casual leave and holidays enjoyed in continuation at one time shall not exceed eight days.
- D. CL cannot be continued with any other kind of leave.
2. Accounts of casual leave availed of by the employee shall be maintained separately.
3. The Competent Authority may refuse casual leave if it is requested on flimsy pretext. The competent Authority shall have the power to grant casual leave in proportion to the period of the calendar year and the casual leave availed of until then. The Competent Authority may grant leave without pay of a shorter duration if no casual leave is left to the credit to the employee.

**Amended vide BoM dt. 11.10.2010**

**YU 182A: Compensatory leave**

To be stopped with immediate effect for all routine types of work. However in case of works which do not come under the purview of routine nature, the employee to be compensated with certain remuneration to be recommended by the HOD and approved by the principal, for constituent colleges and all others it is the Registrar of the University. This will not be applicable for employees who receive incentives /additional allowance.

The minimum duration should be 3 hours continuous work for considering remuneration.

The quantum of remuneration will be equivalent to ½ day's salary or in multiple thereof depending upon the duration. While arriving at the compensation, Basic, DA and AGP in case of teaching staff will be taken into consideration.

The following categories of employees are not eligible for Comp off.

- Statutory Officers of the University.
- Deans/HODs.
- Faculty who are in charge of the Dept. /Section/Centre.
- Staff who are sanctioned fixed allowance or additional allowance for additional work.

***(Amended on BOM dtd. 17/02/2018)***

The minimum duration of work is Six hours to claim a comp off.

When an employee works on a weekly-off or on a general holiday, a comp-off may be available within 15 days from the date of working after approval from the concerned authority.

***(Amended on BOM -53 dtd.  
23/03/2021)***

**YU 183: Earned Leave:**

The non-vocational employee shall be entitled to earned leave for the period spent on duty, at the rate and other details as prescribed by the Board of Management, from time to time.

Employees can avail single EL when there is no other kind of leave in her/his credit

Earned leave of 15 days can be encashed annually or availed and remaining 15 days can be availed out of which 10 days can be carried forward to a maximum of 100 days.

Earned leave above 100 days shall automatically lapse. However, existing earned leave of 240/180 days will be to the credit of the respective employee which can be availed subject to the approval/sanction from the competent authority but cannot be encashed.

*(Amended on BOM 53 dtd. 23/03/2021)*

**Amended vide BoM dt. 11.10.2010**

**YU 184: Leave on Half Pay:**

The employee shall be entitled to leave on half pay to the extent of 20 days for every completed year of service. The employee shall not be entitled to leave on half pay during the first year of his service. The leave on half pay due may be granted to the employee either on medical grounds or for private reasons. The leave requested for on medical grounds shall be supported by the certificate from the Medical Authority.

**YU 185: Commuted Leave:**

The employee may, with the approval of Competent Authority commute leave on half pay at his credit on the following conditions:

1. The commuted leave shall be debited to the account of leave on half pay at the rate of twice the number of days actually availed of
2. Commuted leave shall not be granted under this B<sup>v</sup>e-Law unless the Competent Authority is satisfied that there is reasonable prospect of the employee returning to duty on its expiry.

**BOM dt 17/02/2018- Combine YU 184 & YU185 as YU 184**

**YU 184:**

**Leave on Half Pay:**

The employee shall be entitled to leave on half pay to the extent of 20 days for every completed year of service. The employee shall not be entitled to leave on half pay during the first year of his service. The leave on half pay due may be granted to the employee either on medical grounds or for private reasons. The leave requested for on medical grounds shall be supported by the certificate from the Medical Authority.

**Commuted Leave:**

The employee may, with the approval of Competent Authority commute leave on half pay at his credit on the following conditions:

1. The commuted leave shall be debited to the account of leave on half pay at the rate of twice the number of days actually availed of

2. Commuted leave shall not be granted under this B<sup>y</sup>e-Law unless the Competent Authority is satisfied that there is reasonable prospect of the employee returning to duty on its expiry.

Accumulation of half pays leave/Commutated leave:

Accumulated to a maximum of 180 days per year equivalent to 90 days of commuted leave

The half pay leave/commuted leave cannot be encashed or adjusted towards notice period.

*(Amended on BOM dtd. 17/02/2018)*

**YU 185: Special Medical Leave for Tuberculosis, Cancer, AIDS & Heart Surgery:**

A Non Teaching Employee appointed on regular basis shall be entitled to 12 months full paid leave if he is suffering from extensive Tuberculosis, advanced Cancer or malignant diseases, advanced AIDS, serious brain ailment, cardiovascular diseases or such other diseases which may be specified by the Competent Authority, from time to time and is undergoing treatment in a recognized clinic or under a specialist recognized by the University from time to time.

*(Amended on BOM dtd.17.08.2013)*

**Renumbering YU 185(a) as YU 185**

*(Amended on BOM dtd. 17/02/2018)*

Permanent employees, who have completed the probation, shall utilize their leave at credit for all those medical conditions other than mentioned above.

Temporary employees are eligible for 14 days of leave on a case by case basis with prior approval of the Vice Chancellor.

*(Amended on BOM – 53 dtd. 23/03/2021)*

**YU 186: Special Leave:**

The employee disabled by injury or illness caused in. or in consequence of due performance of his official duty, or in consequence of his official position, shall be entitled to special disability leave, only when the injury or illness is sustained as result of a risk which is beyond the ordinary risk attached to the post. On production of a certificate from the Medical Authority, covering the requirement and the period, the Competent Authority shall sanction the said leave not exceeding twenty four months in entire service. Such leave shall not be debited to any other kind of leave. It may be combined with leave of any other kind. The period of such leave shall be treated as duty for pay.

**YU 187: Maternity Leave:**

1. The permanent female employee, who has two living children, on the date of the application, shall not be entitled to maternity leave for a period of ninety days. Such leave shall not be debited to her leave account. In the case of the vocational employee, if the confinement takes place during a vacation, the maternity leave shall run concurrently with it.
2. The temporary female employee who has put in at least two years of continuous service shall be eligible for maternity leave referred to in clause(1).



3. The temporary female employee who has put in continuous service for a period exceeding one year, but less than two years, shall be entitled to maternity leave of 90 days on half pay, which shall not be debited to her leave account.
4. The temporary female employee with less than one year service shall not be entitled to maternity leave and the period of absence shall be treated as extraordinary leave.
5. The application for maternity leave shall be supported by a medical certificate indicating the probable dates of confinement. The employee shall report the date of confinement.
6. The female employee may avail other leave, including commuted leave, if she so desires, in continuation of the maternity leave, upto a maximum period of sixty days without production of a medical certificate.

**YU 187: Maternity Leave**

1. Only female employees who have less than two living children at the time of application shall be entitled to maternity leave.

*(Amended on BOM dtd. 22.01.2015)*

***Only female employees who have less than two living children at the time of application shall be entitled to maternity leave of 182 days.***

*(Amended on BOM dtd. 17/02/2018)*

2. Only female employees who are on probation or have been confirmed in service and who have put in at least 2 years service in the organization shall be entitled for 90 days of maternity leave with full pay.

*(Amended on BOM dtd. 22.01.2015)*

Only female employees who are on probation or have been confirmed in service and who have put in at least 2 years service in the organization shall be entitled for 182 days of maternity leave with full pay.

*(Amended on BOM dtd. 17/02/2018)*

3. The temporary female teacher who is appointed on probation and who has put in continuous service for a period exceeding one year, but less than two years, shall be entitled to maternity leave of ninety days, on half pay, which shall not be debited to her leave account.

***The temporary female employee who is appointed on probation and who has put in continuous service for a period exceeding one year, but less than two years, shall be entitled to maternity leave of 182 days, on half pay, which shall not be debited to her leave account.***

*(Amended on BOM dtd. 17/02/2018)*

4. The temporary female teacher with less than one year service shall not be entitled to maternity leave and the period of absence shall be treated as extraordinary leave.

***A woman who legally adopts a child below the age of three months or a commissioning mother shall be entitled to Maternity Benefit for a period of 12 weeks from the date the child is handed over to the adopting mother or the commissioning mother as the case may be.***

*In cases where the nature of work assigned to a woman is of such nature that she may work from home, the employer may allow her to do so after availing of the Maternity Benefit for such period and on such conditions as the employer and the woman may mutually agree.*

*The employees who are covered by the ESI Scheme shall avail the benefit using the ESI Scheme.*

(Amended on BOM dtd. 17/02/2018)

5. The application for maternity leave shall be supported by a medical certificate indicating the probable dates of confinement. The employee shall report the date of confinement.
6. The female employee may avail other leave, including commuted leave, if she so desires, in continuation of the maternity leave, upto a maximum period of sixty days without production of a medical certificate.
7. Leave under this Bye-Laws shall be admissible in a case of miscarriage or abortion including medical termination of pregnancy, subject to the following conditions:
  - a. The leave does not exceed more than forty five days during the entire service.
  - b. The leave may be sanctioned to female employees irrespective of the number of living children.
  - c. After the medical termination of pregnancy, if a female employee requires rest for more than the leave admissible as per clause (a) above, she can avail of the other leave due or not due.
  - d. The application for the leave shall be supported by a medical certificate.

**Amended vide BoM dt. 11.10.2010**

**YU 187. (A) Maternity Leave:**

1. Of the total leave structure of 26 weeks (182 days), 8 weeks pre and 18 weeks post expected date of delivery can be availed for the first and second child.
2. 12 weeks paid leave is eligible for third and fourth child, which can be availed 6 weeks prior and 6 weeks post expected date of delivery.
3. 12 weeks of leave in case of adoption (below the age of three years) and commissioning mother (Commissioning mother has been defined as the biological mother who use her bff to create an embryo which is then planted is another woman)

(Amended on BOM – 53 dtd. 23/03/2021)

**YU 188: Leave Preparatory to Retirement:**

1. The employee may avail leave, as the leave preparatory to retirement on superannuation or on voluntary basis, to the extent of earned leave under the existing rules.
2. The leave preparatory to retirement shall not extend beyond the date of his retirement.
3. The employee on the leave preparatory to retirement shall be required to join his duties before he actually retires.

4. The employee shall forgo all types of leave at his credit on the day of attaining age of superannuation or retirement.

**Amended vide BoM dt. 11.10.2010**

**YU 189: Leave Sanctioning Authority:**

Subject to the overall control of the Appointing Authority, the following shall be the Competent Authorities to sanction leave under these Bye-Laws.

Sl. No.	Category	Kind of leave	Competent Authority
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For the Yenepoya University:			
i.	Group A employee leave	All kinds	Vice-Chancellor
ii.	Group B,C,&D	All kinds	Registrar
For the Colleges			
iii.	Group B,C, & D' employee	Casual leave	Principal
	Group B,C, & D employee	other leaves	Registrar
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Provided that the Competent Authority may further delegate to other subordinate officers, the power to sanction a particular kind of leave.

**YU 190: Leave on Re-employment:**

In the case of a person re-employed after retirement on superannuation, the provisions of these rules shall apply as if he had entered into the service of the Yenepoya University and / or its colleges for the first time on the date of his re- employment.

**CHAPTER-VI**  
**CONDUCT, DISCIPLINE AND APPEALS**

**YU 191: Conduct**

- I. The employee shall be at the disposal of the Yenepoya University for full time and shall serve in such capacity and at such place, as he may from time to time, be directed.
- II. The employee shall conform to and abide by the provisions of these Bye-Laws and directives and decisions of the Competent Authority. The employee shall also observe, comply with and obey all the orders and instructions which may, from time to time, be given to him by the officer under whose jurisdiction, superintendence or control, he has been placed, for the time being.
- III. The employee shall at all time maintain absolute integrity, show devotion to duty and shall do nothing which is unbecoming of an employee. He shall ensure the integrity and devotion to duty of all employees under his control and Authority for the time being.
- IV. The employee shall extend utmost courtesy and attention to all persons with whom he has to deal in the sphere of his duties. He shall strive hard to promote the interest of the Yenepoya University and / or its colleges.
- V. The employee shall not in the discharge of the official duties, deal with any matter relating to award of any contract in favour of a company, firm or any other body or person in which he or any member of his family is interested, except with a prior permission of the competent Authority. After such a permission is granted, the employee shall refrain himself from extending any undue advantages or benefits to such company, firm or body, as the case may be.
- VI. (a) The employee shall not, except in accordance with any general or special orders of the Competent Authority or in performance of his duties and in good faith, communicate or cause to communicate directly or indirectly any official document or any part thereof or information to any person, within the Yenepoya University, and /or colleges or to an outsider, to whom he is not authorized to communicate such document and information, or shall not himself make any use thereof.  
(b) The employee shall not contribute to the media any matter connected with the Yenepoya University and / or its colleges without obtaining a previous sanction of the Competent Authority or shall not, without such sanction, make use of any document, paper or information, which may have come in his possession in his official capacity. He shall also not try to obtain unauthorizedly any information, document, paper which may not come in his possession in his official capacity, in order to make any use thereof.  
(c) The employee shall not air or vent his personal grievances or any matter related to his service through the media or through any mode other than those as may be provided by or under these Bye-Laws.
- VII. The employee shall not, directly or indirectly, take part in any activity or demonstration or movement which is considered by the Competent Authority to be prejudicial to the academic and administrative interests of the Yenepoya University or bring the Yenepoya University in disrepute.
  - a. The employee shall not be a member of or be otherwise associated with any political party or any organization which takes part in politics, nor shall he take part in or subscribe in aid of or assist in any other manner, any political movement or activity.



- VIII. The employee shall not, without the express sanction of the Competent Authority, ask for or accept contribution to or otherwise associate himself with the raising of funds or other collections in cash or otherwise for his own benefit.
- IX. The employee shall not accept or permit any member of his family or any person acting on his behalf to accept any gift in cash or in kind for his own benefit from any person including another employee for a work to be done in connection with the business of the college and/or Yenepoya University.

Explanation: The expression — "gift" includes free transport, boarding, Lodging or other service or any other pecuniary advantage when provided by any person other than a near relative or personal friend having no official dealings with the employee.

- X. The employee shall not accept lavish hospitality or frequent hospitality from any individual having official dealings with him or from industrial or commercial firms, organizations, or any similar bodies.
- XI. The employee shall not, except with the previous sanction of the Competent Authority, accept or seek any outside office, stipendiary or honorary work. He shall not engage in any trade, business or canvass support of any commercial or insurance activity owned or managed by any member of his family except co-operative consumers, housing or credit societies.
- XII. The employee shall be intimate to the Competent Authority, if any member of his family is engaged in any trade or business or owns or manages an insurance agency or commission agency. The Competent Authority may grant the permission, if it is satisfied that the work can be undertaken without detriment to his official duties and responsibilities. The Competent Authority, while granting this sanction, may stipulate that any fees received by the employee for undertaking the work shall be paid in whole or in part to the Yenepoya University.

Provided that, this provision shall not be applicable to the honorary work of special charitable nature, or literary, artistic or scientific in character, including TV/Radio talk, without affecting the interest of college and/or Yenepoya University and his official duties.

- XIII. (a) The employee shall seek a prior permission of the Competent Authority before applying for a job, post, outside the Yenepoya University, as the case may be.  
(b) The employee shall seek a prior permission of the Competent Authority before applying for any course of study leading to diploma, degree, certificate, etc. and shall not enter upon a course of studies or appear in any examination conducted by the Yenepoya University or other bodies, without such permission.
- XIV. The employee shall not, without prior permission of the Competent Authority, absent himself from his duties. In the circumstances or reasons beyond his control, he shall intimate or cause to intimate to Competent Authority within five days from the first date of absence, failing which the absence may be treated as leave without pay, and he shall further be liable to such disciplinary action as the Competent Authority may deem fit:

Provided that, the Competent Authority may condone this condition in respect of an employee who for the reason of his own physical state was unable to convey the cause of his absence.

XV.

- a. The employee or his relative shall neither bid directly or indirectly, at any auction of property of the college or Yenepoya University nor submit any tender for any supply to the Yenepoya University.
- b. The employee shall not use the Yenepoya University and/or its colleges property including the residential accommodation for conducting any trade or business, occupation or for any other purpose than that for which the same may or may not have been allotted to him or put to discharge.

XVI. The employee shall not, by writing, speech or deed, or otherwise, indulge in any activity which is likely to incite and create feelings of hatred or ill-will among different communities on religious, social, regional, communal or other grounds.

XVII. The employee shall not, without a prior approval of the Competent Authority, give evidence in connection with any inquiry conducted by any person, committee, or Authority and shall not criticize any policy or action of the Competent Authority and appointing or any other Authority of the Yenepoya University and/or its colleges.

Provided that, the employee may give evidence at:

- A. an inquiry before the Enquiry Authority appointed by the Competent Authority.
- B. a judicial inquiry, or
- C. a departmental inquiry ordered by the Competent Authority.

#### **YU 192: Misconduct**

The breach of any of the provisions of the these Bye-Laws or any one or more of the following acts on the part of the employee shall be deemed as a misconduct and include

1. Any action by the employee contrary to the provisions prescribed in these Bye-Laws,
2. Going on illegal strike, abetting including instigation or action in furtherance thereof,
3. Theft, fraud or dishonesty,
4. Habitual break of standing orders, rules, etc.
5. Willful or negligent damage caused to the Yenepoya University and/or its college property.
6. Refusal to accept a charge-sheet, order or other communication served to him according to the Bye-Laws,
7. Any action, involving moral turpitude and attracting conviction in court of law.
8. Riotous or disorderly behavior, threatening, intimidating or coercing in connection with or relating to any duties or working of the Yenepoya University.
9. Willful neglect of work or negligence in discharging any duty or failure to give the day's out-turn,
10. Involvement in violence inciting-violence,

11. Stopping the work either singly or with other employees or inciting anyone else not to work,
12. Allowing anyone within the prohibited premises of the College or Yenepoya University, whose entry is prohibited without a permission of the Competent Authority.
13. Falsification of or tampering with any paper or record of the College or Yenepoya University,
14. Obtaining employment under other University or any other private, semi-government or government organization by misleading or by misrepresenting the facts,
15. Making any false or exaggerated allegations against any superior officer or Authority or co-employee,
16. Attending the duties in an intoxicated state.
17. Committing nuisance during the working hours under intoxicated state or otherwise.
18. Misappropriation of any amount, and/or movable and immovable property, of the College or Yenepoya University or late crediting the amount received for respective Yenepoya University and its colleges in the account of Yenepoya University beyond the reasonable time to be decided by the concerned Authority.
  - A. Committing any act involving moral turpitude.
  - B. Misbehavior with another employee or member of the public.
  - C. Proceeding on leave without prior approval of the Competent Authority, except in case of emergency beyond the control.

### **YU 193: Disciplinary Authority**

Disciplinary Authority for the Group A, B, C, & D employees shall be the Board of Management.

### **YU 194: Penalties**

Without prejudice to the provisions of any law for the time being in force, the following penalties may, for good and sufficient reasons, and as hereinafter provided, be imposed on the employee found guilty of misconduct. The penalty to be imposed shall essentially be commensurate with the severity or gravity of the misconduct committed and shall be imposed only after sufficient opportunity is provided to the employee for being heard and to defend himself.

#### **a. Minor Penalties-**

- i. censure,
- ii. fine,
- iii. withholding of increment of pay,
- iv. withholding of promotion,
- v. recovery from his pay, or such other amounts as may be due from him

#### **Major penalties**

- i. Withholding of promotion for a longer period.
- ii. Reduction to a lower stage in the payscale.
- iii. Reduction to a lower scale of pay, grade, post or services.
- iv. Compulsory Retirement,

- v. Removal from service.
- vi. Dismissal from service.

**Explanation (1):** The order under (a) (iii) of withholding increment shall not affect subsequent increment(s). The order under (a) (iv) shall have effect on consideration of the employee for promotion on one occasion only.

**Explanation (2) :** The order under clause (a) (v) for recovery shall expressly state the amount of the whole or part of any Disciplinary Authority pecuniary loss caused by him to the Yenepoya University, by negligence or by breach of orders.

**Explanation (3):** Reduction under clause (b) (ii) in the scale of pay, shall be for specified period, with further direction as to whether or not the employee shall earn increment(s) during the period and whether on the expiry of such period, the reduction shall or shall not have the effect of postponement of future increments in his pay.

**Explanation (4):** Reduction under clause (b) (iii) shall ordinarily be a bar to the promotion of the employee to the scale of pay, grade, post or service from which he was reduced, with or without further directions regarding condition of restoration to the scale of pay, grade, post or service from which he was reduced, and seniority and pay on such restoration.

**Explanation (5):** The order of penalty of reduction, under clause (b) (ii) or (b) (iii) shall expressly state whether the period of reduction shall be exclusive of any interval spent on leave or otherwise.

**Explanation (6):** Removal under clause (b) (v) shall not be a disqualification for future employment under the Yenepoya University or colleges.

**Explanation (7):** Dismissal under clause (b) (vi) shall be a disqualification for future employment under the Yenepoya University or colleges.

#### **YU 195: Procedure of imposing Minor Penalty**

If the Disciplinary Authority is satisfied that the misconduct committed by the employee is serious enough to inflict any of the minor penalties, the Disciplinary Authority shall –

- a. issue notice to the employee in writing along with the imputation(s) of misconduct and require him to show cause as to why the action proposed be not taken against him.
- b. give a reasonable opportunity to the employee to furnish the explanation.
- c. take into consideration the explanation of the employee and record findings on each imputation of misconduct; and
- d. issue the order imposing one or many of the minor penalties, or if satisfied, drop the imputation (s) and exonerate him of the charges(s).



### **YU 196: Action not amounting to Penalty**

The following shall not amount to penalty within the meaning of Bye-laws 194, namely

- a. withholding of increment of pay of the employee for his failure to pass departmental examination; if any, in accordance with the Bye-laws or orders, or the terms of his appointment on probation;
- b. non-promotion of the employee, whether in substantive or in officiating capacity after consideration of his case, to a service, grade or post for promotion to which he is eligible, on administrative ground not connected with his conduct;
- c. reversion of the employee officiating in higher service, grade or post to a lower grade or post on the ground that he is considered to be unsuitable for such higher service, grade or post, or on any administrative ground not connected with this conduct;
- d. reversion of the employee, appointed on probation to any other service, grade or post; to his permanent service, grade or post held by him under the Yenepoya University, during or at the end of the period of probation, in accordance with the terms of his appointment or the rules and orders governing such probation.
- e. repatriation of the service of the employee whose services have been borrowed from outside Authority or recalling the employee from the foreign employment to such Authority;
- f. compulsory retirement of an employee in accordance with the provisions relating to his superannuation or retirement;
- g. termination of the service (I) of the employee appointed on probation, during or at the end of his probation, in accordance with the terms of his appointment or Bye-Laws or orders governing such probation; or (ii) of a temporary employee on grounds unconnected with his conduct or (iii) of the employee under an agreement, in accordance with the terms of such agreement or (iv) on abolition of the post(s).

### **YU 197 Suspensions**

The Disciplinary Authority may, by an order in the proforma prescribed in the Proforma Appendix No. VI, place the employee under suspension.

1. (a)
  - i. Where disciplinary proceedings against him are contemplated or are pending and are likely to result into imposing any of the major penalties,
  - ii. Where in the opinion of the Competent Authority he has engaged himself in activities prejudicial to the interests of the Yenepoya University, and
  - iii. Where there is reason to believe that his continuance in service is likely to cause embarrassment or to hamper the investigation of the case, or likely to tamper with the official record or document(s);or
- (b) Where case against him in respect of any criminal offence is under investigation, enquiry or trial in a court of law.
2. The employee shall be deemed to have been placed under suspension',
  - a. With effect from the date of his detention, in police or judicial custody, on a criminal charge, for a period exceeding forty eight hours,
  - b. With effect from the date of his conviction, if, in the event of a conviction for an offence, he is sentenced to a term of imprisonment exceeding forty eight hours and is not forthwith dismissed or removed or compulsorily retired, consequent to

such conviction and shall remain under suspension until the order of suspension is modified or revoked by the Competent Authority.

3. While under suspension, the employee shall neither be allowed to resign nor granted leave.

The employee under suspension shall not engage himself in any private or gainful employment, trade or business during the period of suspension.

The employee under suspension shall not leave the headquarters during the period of suspension without a prior written permission of the Competent Authority.

If the employee under suspension attains the age of superannuation, during the period of suspension, he shall be deemed to have been retired from the date of his superannuation. However, the departmental or judicial proceedings pending against him shall continue even after his retirement.

### **YU 198: Procedure of Enquiry**

1. Whenever the Disciplinary Authority is of the opinion that there are grounds for enquiry into truth and/or substance of imputation(s) of misconduct on the part of the employee(s), which may result in major penalty, it may itself enquire into or appoint an enquiry officer or committee to enquire into the truth thereof. The appointment order of the enquiry officer or committee shall be issued in the proforma appended in Appendix No. VII

2. Where it is proposed to hold enquiry against the employee, the Disciplinary Authority shall draw up or cause to draw up:

- a. The substance of imputation(s) of misconduct into definite and distinct article(s) of charge(s).

- b. A statement of imputation(s) of misconduct in support of each article of

i. the employee statement of All Relevant Facts Including Any Admission, or confession by  
The Disciplinary Authority shall deliver or cause to deliver to the employee, in the proforma appended in Appendix No. VIII, a copy of the article(s) of charge(s) the statement of imputation(s) of misconduct and a list of document(s) and of the witness (es) by which, each article of charge is proposed to be sustained, and shall; by a written notice require the employee to submit to it, within fifteen clear days, a written statement of his defence and to state whether he desires to be heard in person.

On receipt of a written statement of defence and on admission of any or all article(s) of charge(s) by the employee, the Disciplinary Authority shall record its findings on each charge admitted, after taking such evidence into account as it may think and shall act in the manner as prescribed.

- 5) On receipt of written statement of defence of any or all of the article(s) of charge(s) by the employee or on its non-receipt, the Disciplinary Authority may further enquire or cause to enquire into the charge(s) not admitted in the manner as prescribed.

Where the Disciplinary Authority appoints the Enquiry Authority, it may by an order appoint another employee or any other suitable person to present the case in support of the article (s) of the charges (s) before the Enquiry Authority. The employee may take assistance of any other employee or any other suitable person to represent the case on his behalf. In case the Enquiry Authority permits the employee to engage a legal practitioner to represent on his behalf the Disciplinary Authority

may appoint a legal practitioner to represent on his behalf the Disciplinary Authority may appoint a legal practitioner as presenting officer.

7. The Disciplinary Authority shall forward to the Enquiry Authority.
  - a. A copy of each of the articles(s) of charge(s) and the statement of imputation(s) of misconduct.
  - b. A copy of the order appointing the presenting officer
  - c. Copies of the statements witnesses
  - d. Evidence proving the delivery of documents to the employee, and
  - e. A copy of the written statement of defence by the employee. if any.
8. The employee shall appear in person before the Disciplinary Authority or the Enquiry Authority on such day and at such time within ten working days from the date of receipt by the employee of the articles (s) of charges(s) and the statement of imputation(s) of misconduct as the disciplinary- or the Enquiry Authority may, by notice in writing specify, or such further time not exceeding ten days as the Enquiry Authority may allow.
9. The Disciplinary Authority may, suo motu or on being moved by the employee against whom enquiry is instituted, for just and sufficient reasons, transfer the proceedings to another Enquiry Authority constituted for the purpose.
10. If the employee who has not admitted any of the article(s) of charge(s), in his written statement of defence, or has not submitted any written statement of defence, appears before the Disciplinary Authority or Enquiry Authority, it shall ask him whether he is guilty or has any defence to make and if he pleads guilty of any of the article(s) of charge(s), it shall be so recorded under the signature of the employee and of that Authority.
11. The Enquiry Authority shall return to the Disciplinary Authority the findings in respect of those article(s) of charge(s) which the employee pleads guilty.
12. If the employee fails to appear within the specified time or refuses to plead or admits to plead, the Enquiry Authority shall require the presenting officer of the employee to produce the evidence by which he proposes to prove article(s) of charge(s), and shall adjourn the case to a later date not exceeding fifteen days, after recording the order that the employee may, for the purpose of his defence,
  - a. Inspect within five days of the order or within such further time not exceeding five days as the Enquiry Authority may allow, the documents specified in the list,
  - b. Submit a list of witness(es) to be examined on his behalf,
  - c. Give a notice within ten days of the order or within such further time not exceeding ten days as the Enquiry Authority may allow, for the discovery or production of any document(s), but not mentioned in the list, indicating the relevance of such document(s).
13. The employee may apply orally or in writing, for supply of copies of the statements of witness(es), if any, mentioned in the list, and the Enquiry Authority shall furnish him the same as early as possible, and in any case not later than three days before the commencement of the examination of the witness(es) on behalf of the Disciplinary Authority.
14. (a) The employee may, by notice to the enquiry Authority, require copies of certain document(s) in possession of Appointing Authority or Disciplinary Authority. In that case, the Enquiry Authority, shall forward the same or copies

thereof to the Authority in whose custody or possession the documents are kept, with a requisition for the production of the document(s) by a specified date:

(b) On receipt of the requisition, the Authority having the custody or possession of the requisitioned document(s), shall produce the same before the Enquiry Authority: Provided that, the Enquiry Authority may, for reasons to be recorded in writing, decline the requisition of any such documents, as are not relevant in the case, and the Enquiry Authority may withdraw the requisition or may not press for the same. Provided further that, if the Authority having the custody or possession of the requisitioned document(s), is satisfied, for the reasons to be recorded in writing that the production of all or any of such document(s) would be against the public interest, it shall inform the Enquiry Authority, and the Enquiry Authority shall, on being so informed, withdraw the requisition and communicate the information to the employee.

15. (a) The enquiry shall commence on the date fixed by the Enquiry Authority and shall continue thereafter on the dates as may be fixed, from time to time.
- b. The oral evidence shall be recorded or caused to be recorded by the Enquiry Authority, in a narrative form and not in a question-answer form, on the completion of which it shall be read out to be correct and signed and dated by the witness and the enquiry officer. The copy(ies) of the deposition(s) may be made available to the Disciplinary Authority and to the employee(s) on request and on payment of charges.
- b. The Oral And Documentary Evidence By Which The Article(s) of charge(s) are proposed to be proved shall be produced by the Disciplinary Authority. The witness (es) may be examined by the Disciplinary Authority and cross examined by the employee. The Disciplinary Authority shall be entitled to re-examine the witness, on any point(s) on which he has been cross-examined. The Enquiry Authority may, also put questions to the witnesses.
- c. Before the close of the case by the Disciplinary Authority, the Enquiry Authority may allow the presenting officer to produce fresh evidence, and include the same in the list, or may itself call for the new evidence or recall and re examine any witness(es), and in such cases, the employee shall be entitled to have a copy of the list of further evidence. The Enquiry Authority shall give the employee an opportunity of inspection of document(s) before they are taken on record.  
Provided that, no new evidence shall be permitted unless there is inherent lacuna(e) or defect(s) in evidence- originally produced.
- d. When the case of the Disciplinary Authority is closed, the employee shall state his defence orally and/ or in writing. The employee may examine himself and the witness(es), may be cross-examined by the Disciplinary Authority, re-examined by the employee and examined by the Enquiry Authority.  
The Enquiry Authority may also allow the employee to produce new evidence, if it is necessary in the interest of justice.
- e. After the employee closes his case and if the employee has not examined himself, the Enquiry Authority may generally question him on the circumstances appearing against him, for the purpose of enabling the employee to explain any circumstances appearing in the evidence against him.
- f. The Enquiry Authority may, after the completion of production of evidence, hear the Disciplinary Authority or the presenting officer, and the employee



and/or permit them to file written statements of argument of their respective cases.

xvi. If the employee to whom a copy of the article(s) of charge(s) has been delivered, does not submit a written statement of defence on or before the date specified or does not appear in person before the Enquiry Authority or otherwise fails or refuses to comply with the provisions of these Bye-Laws, the Enquiry Authority may hold the enquiry ex- parte.

xvii.

a. Wherever the Enquiry Authority, after having heard and recorded the whole or, part of the evidence, ceases to exercise jurisdiction thereon, and is succeeded by another Enquiry Authority, it shall act on the evidence so recorded by its predecessor and partly recorded by itself.

Provided that, if\* the succeeding Enquiry Authority is of the opinion that further examination of any of the witnesses, already recorded, is necessary in the interest of natural justice, it may recall, examine, cross- examine and re-examine him: Provided further that, if the witness is recalled, he may be cross-examined and/or reexamined by the employee or the presenting officer:

b. Where in the opinion of the Enquiry Authority, the proceedings of the enquiry establish any article(s) of charge(s) different from original article(s) of charge(s), it may record its findings on such article(s) of charge(s):

Provided that, the findings on such article(s) of charge(s) shall not be recorded, unless the employee has either admitted the facts on which such article(s) of charge(s) is based and has been provided a reasonable opportunity of defending himself against such article(s) of charge(s).

### **YU 199: Common Procedure**

Where two or more employees are concerned in any case, the Disciplinary Authority, for the highest ranking employee amongst those concerned, shall take all actions and proceed as per provisions of these Bye-Laws in respect of employees concerned.

### **YU 200 : Enquiry Report**

1. After the conclusion of enquiry, the Enquiry Authority shall prepare a report. Such report shall contain-
  1. article(s) of charge(s) and the statement of imputation (s) of misconduct;
  2. the defence of the employee in respect of each article of charge;
    - a. an assessment of the evidence in respect of each article of charge; and
    - b. the findings on each article of charge and the reasons thereof;

The Enquiry Authority, where it is not itself the Disciplinary Authority, shall forward to the Disciplinary Authority, the record of enquiry which shall include–

- i. the report prepared by it;
- ii. the written statements of defence submitted by the employee;
- iv. the oral and documentary evidence produced in the enquiry;
- v. the written statements of argument filed by the presenting officer and the employee, if any and

- vi. the orders, made by the Disciplinary Authority and Enquiry Authority in regard to the enquiry.
3. The Disciplinary Authority, to which the record is forwarded may act on the evidence of the record or may, if it is of the opinion that further examination of any of the witnesses is necessary, recall the witness(es) and examine, cross-examine, and re-examine the witness(es), and impose on the employee such penalty as it may deem fit in accordance with these Bye-Laws:  
Provided that, if any witness is so recalled, he may be cross-examined by the employee:

**YU 201: Action on Enquiry Report:**

1. The Disciplinary Authority, shall consider the report and record its findings on each charge.
2. The Disciplinary Authority, if itself is not being the enquiry officer, shall consider the enquiry report and if it disagrees with the Enquiry Authority on any article(s) of charge(s), it shall record its reasons for such disagreement, and refer the case back to the Enquiry Authority for further enquiry and report. The Enquiry Authority shall thereon proceed to hold further enquiry according to the provisions of the preceding Bye-Laws; as far as maybe.
3. If the Disciplinary Authority, having regard to the findings on the charges, comes to the decision that no penalty be imposed or that the employee be exonerated. it shall so order.
4. If the Disciplinary Authority, having regard to the findings, comes to the decision that any of the minor penalties be imposed on the employee, it shall notwithstanding anything contained in these Bye Laws, determine what penalty shall be imposed, it shall so order.
5. If the Disciplinary Authority having regard to its findings on all or any of the articles of charge, comes to the decision that any of the major penalties be imposed on the employee, it shall-
  - a. (i) furnish to the employee, a copy of the enquiry report and its findings on each article of charge, expressly stating whether or not it agrees with the findings of the Enquiry Authority, together with brief reasons for its disagreement, if any, and
  - (ii) give to the employee a notice stating the penalty proposed to be imposed on him by calling upon him, to submit within fifteen days of receipt of the notice or such further time not exceeding fifteen days, as may be allowed, such representation as he may wish to make on the proposed penalty and the cause as to why the penalty be not imposed on him.
  - b. The Disciplinary Authority shall consider the representation, if any, made by the employee and determine the quantum of penalty that be imposed on him on the basis of the evidence adduced.
6. The final orders made by the Disciplinary Authority under this rule shall be communicated to the employee and the Enquiry Authority. A second show-cause notice shall be issued to the employee before the penalty is executed.

**YU 202 : Appeal:**

1. Notwithstanding anything contained in these Bye-Laws no appeal shall lie against-
  - a) any order of all interlocutory nature or of the nature of a step-in-aid or the final disposal of a disciplinary proceeding, other than an order of suspension
  - b) any order passed by an Enquiry Authority in the case of an enquiry under these Bye-Laws.
2. Subject to the provisions of clause (1), employee may prefer an appeal against all or any of the following orders, namely:
  - a. an order of suspension or deemed suspension made under Bye-Law 1
  - b. an order imposing any of the penalties, whether made by the Authority or by the appellate, or by the reviewing Authority,
  - c. an order enhancing any penalty, imposed under these Bye-Laws,
  - d. an order which -
    - i. denies or varies to his disadvantage his pay, allowances or any other service;
    - ii. denies promotion to which he is otherwise eligible according, to the recruitment and promotion Bye- Laws and which is due to him according to seniority;
    - iii. interprets to his disadvantage the provisions of any such Bye-Laws;
    - iv. reverts him while officiating in a higher service, to a lower service, grade or post, other than as a penalty;
    - v. reduces or withholds the post-retirement benefits, if any;
    - vi. determines the subsistence and other allowances to be paid to him for the period of suspension or for the period during which he is deemed to have been under suspension or for any portion
    - vii. determines his pay and allowances, for the period of suspension, or, for the period of his dismissal, removal or compulsor<sup>y</sup> retirement from service, or from the date of his reduction to a lower service, grade, post, time-scale or stage in a scale of pay, to the date of his reinstatement or restoration to his service, grade, or post as the case may be,or
    - viii. determines nature of the period from the date of his suspension or from the date of his dismissal, removal, compulsory retirement or reduction to a lower service, grade, post, scale of pay or stage in a scale of pay or the date of his reinstatement or restoration to his service, grade or post, etc. as the case maybe.
3. The Appellate Authority may, on application or suo motu, take upon itself to review any departmental proceeding and treat the same as appeal and dispose of it as per clause (1) or (2) above. The case for review may be taken up only if the period of appeal has expired but shall not be later than one year from the date of imposition of penalty finally.

**YU 203: Appellate Authorities:**

The Appellate Authority for all the employees shall be the Chancellor of the Yenepoya University.

**YU 204: Period of Limitations**

The employee aggrieved by the decision of the Disciplinary Authority may appeal under these Bye-Laws within a period of thirty days from the date of receipt of the order:

Provided that, the Appellate Authority may entertain the appeal after the expiry of the said period, if it is satisfied that the appellant had sufficient cause for not preferring the appeal in time.

**YU 205 :Subject to the provisions of the law for the time being in force**

1. Every employee preferring an appeal shall do so separately and in his own name and shall address it to the Authority to which the appeal lies with a copy to the Disciplinary Authority.
2. the appeal shall be complete in itself and shall contain all material, statements and arguments on which the appellant relies, but shall not contain any disrespectful, improper language or allegation.

**YU 206: Submission of Appeal**

Every appeal shall be submitted to the Appellate Authority through the proper channel. An advance copy may be submitted directly to the Appellate Authority.

**YU 207: Transmission of Appeal**

The Authority which made the order appealed against shall, on receipt of a copy of the appeal; without any avoidable delay and without waiting for any direction from the Appellate Authority, transmit to the Appellate Authority every appeal together with its comments thereon and the relevant records.

**YU 208: Consideration of Appeal**

1. In the case of appeal against an order of suspension, the Appellate Authority shall consider whether the order of suspension is justified or not and confirm or revoke the order accordingly.
2. In the case of appeal against an order imposing any of the penalties specified in the Bye-Laws or enhancing any penalty imposed under the Bye-Laws, the Appellate Authority shall consider-
  - a. whether the procedure laid down in these Bye-Laws has been followed, and if not whether such non compliance has resulted in the violation of any provisions of the Memorandum of Association or in the failure of justice;
  - b. whether the findings of the Disciplinary Authority are warranted by the
  - c. evidence on the record; and
  - d. whether the penalty imposed is adequate, inadequate or severe.

The Appellate Authority may pass orders

- a. confirming, enhancing, reducing or setting aside the penalty; or
  - a. remit the case to the Authority which had passed the order appealed against, with such directions as it may deem appropriate in the circumstances of the case;
- The Appellate Authority shall not impose any enhanced penalty which neither such Authority nor the Authority which made the order appealed against is competent to impose;



If the Appellate Authority proposes to enhance the penalty and to impose one of the major penalties and an enquiry under the Bye-Laws has not already been held in the case, the Appellate Authority may itself hold or cause to hold such enquiry as per the provisions prescribed and thereafter on consideration of the proceedings of such enquiry, by following the procedure prescribed in the foregoing Bye-Laws, as if the enquiry is being held afresh.

If the Appellate Authority proposes to enhance the penalty and to impose any of the major penalties and an enquiry under these Bye-Laws has already been held, the Appellate Authority shall give to the employee a notice, stating the enhanced penalty proposed to be imposed on him, and calling upon him to submit within fifteen days of receipt of the notice or such further time not exceeding fifteen days, as may be allowed, such representation as he may wish to make on the enhanced penalty and make orders as it may deem fit.

No order imposing an enhanced penalty shall be made in any other case unless the appellant has been served with notice.

The Appellate Authority shall consider all the circumstances of the case and make such orders as it may deem just and equitable.

The Authority which made the order appealed against shall give effect to the order passed by the Appellate Authority.

**YU 209: Service of orders, Notices etc.**

Every order, notice and other process made or issued under these Bye-Laws shall be served in person on the employee concerned or shall be communicated to him by registered post. In case the registered post is not effectively served the notice shall be pasted on the door of his residence and published in at least one leading local newspaper.

**YU 210: Power to relax time limit and condone delay:**

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

## **CHAPTER VII RETIREMENT**

### **YU 211 : Retirement :**

1. The employee after confirmation, shall continue in the service of the Yenepoya University till he attains the age of superannuation.
2. The Competent Authority shall require the employee to retire from the service of the Yenepoya University, if-
  - a. He has reached the age of superannuation.
  - b. He has committed misconduct and imposed with the penalty under sub-clause (iv), (v) or (vi) of clause (b) of Bye-Law 196 has been found to be inefficient.
  - c. He is found by the Medical Authority to be incapacitated for further service of any kind. This includes the retirement on account of mental or physical infirmity ;and
  - d. The post held by the employee is abolished and there is no suitable post equal to his post in which he can be absorbed.
  - e. He has remained absent unauthorized from duties for five years or more.

### **YU 212: Age of Retirement:**

1. The age of superannuation of the employee in Group A, B, C or D, shall be sixty years; however, he shall retire from service on the afternoon of the last day of the month in which he attains the age.
2. *Explanation: The employee whose date of birth is the first of the month shall retire from service on the afternoon of the last day of the preceding month on attaining the age sixty years.*

### **Amended vide BoM dt.11.10.2010**

### **YU 213: Voluntary Retirement:**

The employee who has put in at least twenty years of service, may at his sole discretion, opt to retire from the services of the Yenepoya University, as the case may be, by giving three clear month's notice to the Appointing Authority.

### **YU 214: Retirement on medical Grounds:**

If the employee is declared invalid for service, by the medical Authority, on physical or mental incapacity, the employee shall be asked to retire from the service of the Yenepoya (Deemed to be University) with effect from the date of such declaration and shall be entitled to post retirement benefits such as contributory provident fund and gratuity proportionate to the number of years of service he has put in.

### **YU 215 : Removal or compulsory Retirement :**

1. Subject to these Bye-Laws, the Competent Authority may remove any employee from the service of the Yenepoya University or may require him the ground of insolvency
2. In respect of the employee retiring for reasons other than by way of superannuation, the Registrar shall promptly inform the Board of Management, as soon as the cause thereof arises.

3. While forwarding such a proposal, the Registrar shall specifically mention whether any dues either to the Yenepoya (Deemed to be University) are outstanding in the name of the employee who is due for retirement.

**YU 216: Claims for Compensation for retirements:**

No claim made as compensation by the employee who is required to retire under these provisions shall be entertained.

**YU 217: Post Retirement Benefits:**

1. The employees working in the Yenepoya University shall be eligible for contributory provident fund and gratuity.  
Provided that, the scheme of the contributory provident fund shall be as prescribed by the Competent Authority of the Yenepoya University, from time to time.  
Provided further that, the amount of gratuity and qualifying period for getting gratuity, shall be as decided by the Yenepoya University, from time to time.
2. The employee shall clear all dues payable to the Yenepoya University and/or its colleges, as the case may be, outstanding to his account and vacate the residential accommodation, if he has been provided, before the post retirement benefits are extended to him, as may be prescribed by the Yenepoya University, from time to time.
3. The employee who has been declared as deserter or who ceases to be in service, may be entitled to the post retirement benefits, as prescribed by the Yenepoya University, from time to time, pro-rata upto the date he attended his duties regularly, provided the said period qualified for such benefits.

## CHAPTER - VIII MISCELLANEOUS

### **YU 218: Tenure Post:**

1. If the employee is appointed to a post which is sanctioned / created for a specific period of time, the employee shall be governed by the specific provisions of the terms of contract and not by the provisions of the Bye-Laws. He shall have no legal claim on the said or similar post in the Yenepoya University and/or its colleges, except those specified in the contract.
2. The employee may be appointed for a fixed period against permanent or a temporary post, by a contract, and shall be governed by the terms of contract and not by the Provisions of these Bye-Laws.

### **YU 218 A: Appointment on Contract**

Appointment of Teaching and Non teaching employees may be considered for three years at the first instance which will be renewable once in every six months. The terms and conditions of employment are to be distinctly specified.

Both the parties are at liberty to terminate the appointment on giving one month's clear notice in writing or payment of one month's salary in lieu thereof.

Should however the authority observe that the service of the employee is not up to the mark or satisfactory at any point of the present of the contract, the services may be dispensed with due notice or payment of salary as stipulated above.

The technical/ Para Medical staff will initially be on contract for one year and on satisfactory Completion of first year service on contract, they will be appointed on probation.

For employees appointed on contract basis the Casual Leave entitlement will be as follows:

Casual Leave 12 for 2 years of service.

Casual Leave 17 for above 2 years of service.

Casual Leave 15 + 10 Earned Leave for above 5 years of service.

and RH of 2 days in a year

*(Amended on BOM dtd. 17/02/2018)*

### **YU 219: Deserter :**

If a permanent employee absents himself from duty without any permission for a period of more than thirty days, he shall be deemed to be a deserter and his services shall stand terminated automatically on the expiry of this period.

Provided that, whenever the employee is not able to attend the duties as prescribed and not able to communicate reasons of his absence for the reasons beyond his control, the Appointing Authority may, by a special order, condone his absence.

Provided further that, before terminating the services of the deserter, the Appointing Authority shall first give thirty days notice to the deserter in a local newspaper, send a copy of the said notice to deserter on his permanent address by a registered post and paste the copy of the notice on the door of his residence. After expiry of the notice period, if the deserter fails to join his duties, the Appointing Authority shall terminate the services of the deserter.



**YU 220: Discontinuation and Termination:**

1. The employee shall not leave or discontinue his service in the Yenepoya University without giving a prior notice in writing to the Competent Authority of his intention to leave or discontinue the service. The period of notice shall be-
  - a. Three calendar months in the case of employees in Group A, B C and D, who have been confirmed in their post.  
In case of breach of these provisions, the employee shall pay to the Yenepoya University and/or its college an amount equal to his basic pay for the notice period required to be given by him. In case he fails to pay the amount, it shall be recovered from the dues payable to him.
2. If the Disciplinary Authority, after completing the procedure of a departmental enquiry, comes to the conclusion that the employee should be compulsorily retired or removed from service, it shall give three months' notice in case of the permanent employee in Group A,B,C and D, or one month notice to those who are on probation or in temporary service or pay the salary for the period in lieu thereof.
3. The employee on probation shall not leave or discontinue his service without giving one month's prior notice in writing or one month's salary in lieu thereof. In case of short fall in resignation notice given by a permanent/probationary/temporary employee may be adjusted towards his/her balance of Earned Leave at his/her credit.  
*(Amended on BOM dtd.17.08.2013)*
4. In case of higher studies notice period may be relaxed provided sufficient proof for higher education is produced.  
*(Amended on BOM dtd.08.10.2014)*
5. The Competent Authority shall not terminate the service of the employee on probation without giving one month's prior notice in writing to the employee or one month's salary in lieu thereof.
6. The employee shall cease to be in the service of the Yenepoya University and/or its Colleges; as the case may be, in case he absents himself, even with the permission of the Competent Authority; continuously for a period of five years:  
Provided that, the period spent by the employee on medical leave or study leave shall not be counted as absence for this purpose.
7. The employee suffering from contagious or infectious disease and who is declared as unfit for the service by the Medical Authority shall be discharged from the service of the Yenepoya University.

## CHAPTER IX DUTIES AND RESPONSIBILITIES OF THE EMPLOYEES

In addition to the powers, duties and responsibilities provided for under the Memorandum of

Association, the officers and employees mentioned herein below shall perform the duties and carry out the functions as prescribed below and as may be directed by the Competent Authority / Authorities, from time to time.

### **YU 221: Employees of the Yenepoya (Deemed to be University):**

1. The Registrar, as the chief administrative officer of the Yenepoya University, shall regulate the work, conduct the affairs of the departments, branches, sections, units placed under his charge as well as of the officers and other employees of the Yenepoya University in accordance with the provisions of the Memorandum of Association and Bye-Laws. The Registrar shall assess and evaluate the performance of the officers, employees and others connected thereto and take such measures as he may deem fit to regularize and to improve the working of the Yenepoya University
2. The Registrar shall, subject to the decision of the Yenepoya University Authorities, enter into agreement, sign documents and authenticate record on behalf of the Yenepoya University.
3. The Registrar shall be the custodian of the records, common seal and such other property of the Yenepoya University as the Board of Management may commit to his charge.
4.
  - a. The Registrar shall issue notice, agenda, furnish information on the items of the agenda and keep the minutes of all the meetings of the Board of Management, the Academic Council and the Boards and Committees constituted under the Memorandum of Association or by the Authorities of the Yenepoya University, of which he is or deemed to be the Secretary.
  - b. The Registrar shall implement the decisions of such Authorities faithfully, effectively and expeditiously.
  - c. The Registrar shall refer the decision of the Authority to such other body or Authority as may be necessary for consideration, approval, sanction or ratification, as the case maybe.
  - d. The Registrar shall submit to the Vice Chancellor the decision of the Authority or the body, which according to him is not consistent with the provisions of the Memorandum of Association, and Bye- Laws or is not in the interest of the Yenepoya University.

The Registrar, after the approval of the Board of Management, shall make the appointments of the employees in class I, II, III and IV, against the approved posts, by following the procedure prescribed. He shall allot the post(s) available amongst various departments, branches, sections, units, etc. as well as sub-centre(s), so as to ensure smooth and efficient functioning of the departments, branches, sections, units, sub centers of the Yenepoya University.

The Registrar shall be competent to transfer, promote, revert the employees in class I, III and IV in accordance with the exigency and the procedure prescribed.

The Registrar, as the chief administrative officer, shall supervise the working of all the employees in class I, II, III and IV so as to ensure that they function efficiently and yield maximum of their capacity.

The Registrar, in consultation with the Head of the colleges, branch or section, shall ensure that the employee complies with the requirements of the Memorandum Association and Bye-Laws, orders of the Government of India, UGC and the Authority and serves well in furtherance to objectives of the Yenepoya University.

The Registrar shall have the power to visit and examine records, papers, documents of any branch, section, unit of the Yenepoya University as well as colleges in connection with the administrative matters.

The Registrar shall deal with all legal matters connected with the sections which are directly under his control including signing vakalatnama and executing affidavit(s) etc.

The Registrar shall exercise such other powers and perform such other duties as maybe prescribed or as may be directed by the Vice- Chancellor from time to time.

- II. **Finance Officer:** The Finance Officer shall perform following duties and responsibilities.
- i. As the Receiving and Paying Officer - The Finance Officer shall receive all moneys (other than moneys received in colleges) due to and receivable on behalf of the Yenepoya University and bring them promptly to the account and pay or otherwise settle claims preferred against the Yenepoya University
  - ii. As the Accounting Officer - The Finance Officer shall compile accounts of the Yenepoya University in accordance with the rules and procedure prescribed in the Accounts Code.
  - iii. As the Primary Auditor - The Finance Officer shall apply certain preliminary checks of auditing to the initial accounts vouchers and other like matters of accounting relating to the YenepoyaUniversity.
  - iv. As the Financial Advisor - The Finance Officer shall be the chief financial advisor to Vice-Chancellor and to the Yenepoya University in all matters relating to the accounts and budget estimates or to the operation of the Accounts Code generally. No financial sanction shall, therefore, be issued by any Authority without prior consultation with him and no transaction project or proposal shall be transacted, undertaken or made without obtaining his prior opinion regarding its financial propriety.
  - v. The Finance Officer shall keep himself fully conversant with all sanctions and orders made by the office and with other proceedings of the university which may affect the estimates or accounts of actual or anticipated receipts and charges. He shall advise the Vice- Chancellor and the Yenepoya University on the financial effects of all the proposals for expenditure and keep a watch as far as possible, over all the liabilities as soon as they are incurred, particularly in respect of liabilities incurred against the grants of the funding agency.
  - vi. The Finance Officer shall be consulted on all matters relating to finances, budget and accounts and copies of all sanction orders of proceedings involving financial implications shall be supplied to him as and when they are issued.
  - vii. The Finance Officer shall be the principal controlling and supervising officer of the staff in the Finance Branch as well as in the decentralized finance units and the staff dealing with the accounts placed under various departments, branches, sections,

units of the Yenepoya University. The Finance Officer shall be competent to effect internal transfer of the staff under his control in consultation with the Registrar.

- viii.
- a. The Finance Officer shall issue notice, prepare agenda, furnish information on the items of the agenda and keep the minutes of the Finance Committee, purchase and sales committee and any other committee appointed either by the Board of Management, Finance Committee or the Purchase Committee or any other body of which he is or deemed to be the Secretary.
  - b. He shall implement the decision of the Finance Committee, purchase and sales committee or any other committee or body faithfully, effectively and expeditiously.
  - c. He shall refer the decision of the Finance Committee, purchase and sales committee, or such other Authority or body to appropriate body or Authority as may be necessary for consideration, approval, sanction or ratification, as the case may be.
  - d. He shall submit to the Vice- Chancellor the decision of the Authority or the body which according to him is not consistent with the provision of the Memorandum of Association and Bye-Laws or is not in the interest of the Yenepoya University.
- ix. The Finance Officer shall, subject to the proper implementation of the project, programme, scheme or activity and completion of the formalities thereto as the case may be, and in consultation with the officer In-charge by whatever designation, prefer timely claims to the funding agencies, sanctioning the project, programme, schernur activity to the Yenepoya University; disburse the amount received there under to the officer in- charge of the said project, programme, scheme or activity as the case may be, account for the same, audit or cause to audit the expenditure and certify the utilization of the said amount and/or completion of the same.
- x. The Finance Officer shall be responsible to look into the court cases concerning the sections which are directly under his control and shall take steps to deal with all the legal matters, such as signing vakalatnama, executing affidavit(s), furnishing necessary information to the Advocate in consultation with the Law Officer.
- xi. The Finance Officer shall ensure that the Bye-Laws and orders for the time being in force, are observed in relation to all transactions of the Yenepoya University which come within his purview of duties. If he considers that any transaction or order relating to receipt or expenditure, is likely to be challenged on the application / completion / compilation of the primary audit, he shall bring it to the notice of the Vice- Chancellor or other Authority through the Vice- Chancellor which sanctioned the transaction or issue the order, with a statement of his reasons and obtain the orders of that Authority. If the Vice-Chancellor or the other Authority over-rules him and he is not satisfied with the decision, he shall forthwith make a brief note of the case in the register of the audit objections, and submit the register to the Vice-Chancellor or the other Authority who may either reconsider, accept his advise and order accordingly or reject the same giving the reasons in writing in the said register.
- xii. All the papers, files related to income or expenditure or which has direct bearing on the Yenepoya University finances shall invariably be routed through the Finance Officer.
- xiii. The Finance Officer shall keep a timely watch on the interest bearing securities and other investments of the Yenepoya University. He shall maintain the register(s)of the investments and the securities and submit the detailed report to the Finance Committee.

- xiv. The Finance Officer shall prepare monthly trial balance of the receipts and expenditure and place the same before the Vice-Chancellor or the Authorities as the case maybe.
- xv. The Finance Officer shall monitor purchases and sales of moveable property of the Yenepoya University in accordance with the decisions of the purchase and sales committee and shall maintain record of the said purchases and sales made.
- xvi. The Finance Officer shall sign daily cash book and monthly balance.
- xvii. He shall report to the Registrar any misconduct committed by the employee working in the Finance branch for further necessary action.
- xviii. He shall write the confidential assessment report of the employee placed under his control and forward the same to the Registrar within the stipulated time limit.
- xix. He shall sanction casual leave and issue memo to the employee under his charge or any misdemeanor.
- xx. The Finance Officer shall exercise such other duties as prescribed, from time to time, by the Vice- Chancellor.

### III. **Controller of Examinations:**

1. The Controller of Examinations shall prepare various programmes of the Yenepoya University examinations well in time and adhere to the schedule of declaration of results as prescribed in the Memorandum of Association.
2. He shall assign the duties and responsibilities to the officers working in the examination branch of the rank of Deputy Controller of Examinations and Assistant Controller of Examinations, from time to time.
3.
  - a. He shall convene regular meetings of the Board of Examinations or other statutory bodies relating to the examination as per the programme approved by the Chairman of the Board of Examination. He shall issue notice, agenda, furnish information on the items of the agenda and keep minutes of the meetings of such Authority or body.
  - b. He shall implement the decisions of such Authority or body faithfully, effectively and expeditiously.
  - c. He shall refer the decision of the Authority to such other body or Authority as may be necessary for consideration, approval, sanction or ratification as the case maybe.
  - d. He shall submit to the Vice- Chancellor the decision of the Authority or body which according to him is not consistent with the provisions of the Memorandum of Association and Bye-Laws or is not in the interest of the Yenepoya University.
4. He shall supervise and regulate the work of the examination branch, the examination centers and central assessment programme centers as well as such other activities related to the examination, like computer centre.

He shall report to the Registrar any misconduct committed by the employee in connection with the examination for further necessary action.

He shall obtain the action taken by the Vice-Chancellor, the Registrar against the employee or the teacher who has committed misconduct in connection with the examination and report the same to the Board of Examinations and maintain the register thereof.



He shall write the confidential assessment report of the employee placed under his control and forward the same to the Registrar within the stipulated period.

He may for administrative exigency transfer any of the employee placed under his charge within the examination branch in consultation with the Registrar.

He shall sanction the casual leave and issue memos to the employee under his charge for any misdemeanor.

5.

- a. He shall inform the Vice- Chancellor about the progress of the conduct of the examinations and the declaration of their results from time to time.
  - b. He shall inform the Chancellor through the Vice-Chancellor about the position o declaration of results of examinations.
  - c. He shall report to the Academic Council regarding the results of the examinations.
  - d. He shall ensure that the work of confidential printing is carried out as per the, schedule and that the manuscripts are delivered to the examination centers well in time.
  - e. He shall maintain absolute secrecy as regards to printing of question papers.
- vii. He may visit examination centers as well as central assessment programme centers as and when required.
- viii. He may visit the examination centre(s) as well as central assessment programme centre(s) and ensure that proper arrangements of examinations or evaluation are made by the college and recognized colleges concerned for the smooth conduct of the examinations and of the central assessment programme.
- ix. He shall, in consultation with the Vice Chancellor constitute one or more flying squads for each district to maintain the strict vigilance during the university examinations.
- x. He shall, deal with all the legal matters in connections with the examinations, etc and also sign all the legal documents, vakalatnamas, affidavit agreements, etc. arising out thereof.
- xi. He shall prepare and present the budget of the examination branch to the Board of Examinations.
- xii. He shall have the financial powers as delegated by the Vice-Chancellor, from time to time.
- xiii. In addition to the above duties, he shall perform such other duties and responsibilities assigned by the Vice- Chancellor, from time to time.

**IV. Director of Students' Welfare: Following shall be the duties and responsibilities of the Director of Students' Welfare:**

- i. He shall organise and co-ordinate the students welfare activities at the University and colleges.
- ii. He shall organise specific student's activities (at Yenepoya University level) like leadership training, inter- collegiate and inter-university youth festivals, cultural activities, talent shows, tours and the like, subject to the approval of the Vice-Chancellor.
- iii. He shall as co-ordinator of the activities like N.S.S., N.I.C. and other activities of the similar nature, as may be assigned by the Vice- Chancellor/Board of Management from time to time.

- iv. He shall organise various functions of national importance and important functions like Independence Day, Republic Day, Foundation Day of the Yenepoya University.
- v. He shall encourage cultural; social and literary activities with a view to fostering healthy corporate life in the student community;
- vi. He shall act as a secretary of the students' welfare board;
- vii. He shall issue notices or to cause to issue notices of the meetings of the students' council.
- viii. He shall advise, guide and supervise in general the activities of the students' council.
- ix. He shall maintain accounts and hold and manage the funds and property of the students' council in his capacity as a treasurer of the students' council and submit the same or cause to submit the same;
- x. He shall ensure that the accounts of the students' council are duly audited and the auditor's report along with a statement of accounts submitted to the Board of Management on or before the 31st of March of the following year or on the date that may be specified by the Vice-Chancellor.
- xi. He shall accord sanction and regulate the expenditure with the provisions made in the budget for the students' council.
- xii. He shall notify as per the Bye-Laws governing the election/nomination, to the students' council, to the 'Principals/Directors and inform the date and the time and the manner of holding the election of students' council.
- xiii. He shall bring to the notice of the Vice-Chancellor any of the activities of the students' council or any other students organization if prejudicial to the Yenepoya University or/and is not in the interest of the student.
- xiv. The Director of Students' Welfare shall for the purposes of planning programmes and activities and for executing different schemes relating to students' welfare and/or approved by the students' council act as a
  - i. liaison between the Government of India, Government, other Universities, national and cultural organizations etc.
  - ii. He shall be responsible for the smooth conduct and co-ordination of students' council elections.
  - iii. He shall issue the notice of meetings of the student's council, prepare the agenda and keep the minutes of the student's council.
  - iv. He shall co-ordinate the curricular, co-curricular and extracurricular activities of different Students Associations for a better corporate
  - v. He shall arrange for the periodical medical examinations of students and to ensure medical assistance to them.
  - vi. In addition to the duties and responsibilities mentioned above, he shall perform such other duties and perform such other functions as assigned by the Vice- Chancellor, from time to time.
  - vii. He shall perform such other duties as may be assigned to him by the Authorities and assist in any other work that may be allotted to him by the Authorities of the Yenepoya University.

#### **IV. Deputy Registrar and equivalent Cadres:**

1. Subject to the overall direction, control and supervision of the **Group A** officer, who shall be controlling officer, the Deputy Registrar in charge of Branch / Section / Unit Department, (Branch in brief) shall be responsible for the smooth conduct

- and working of his Branch for the allotment of work to the Assistant Registrar(s), Superintendent(s), **Senior Assistants**, etc. who shall be directly responsible to him.
2. He shall convene regular meetings of the officers and/or of the staff working under him and shall determine the time dimensions of each of the tasks assigned and supervise the overall working as per the prescribed norms, if any. He shall also get the daily reports/ worksheets from the officers and guide the officers and/or staff to ensure that the job assigned to each of them is understood by them and to see that they conduct the business without any difficulties.
  3. He shall issue warnings and reprimand to erring employee. He shall also maintain of cause to maintain leave register, movement register and all other official registers etc.
  4. He shall inspect periodically and after every fifteen days the attendance register and countersign it for having inspected the same and take such action as he may deem fit in case of habitual late comers or those who habitually remain absent by issuing warnings in writing and recommending to the Registrar through his controlling superior officer for the disciplinary action of severe nature, in case, the same employee shows no improvement.
  5. He shall communicate in writing, from time to time, about the progress and difficulties and evaluate the staff and give his recommendations. He shall also be responsible for submission of accounts of money, his Branch spends. He shall submit periodical returns and reports, and shall prepare the budget for his Branch every year and place it for approval of the appropriate Authority.
  6. The Deputy Registrar shall maintain cordial public relations and attend the queries of the members of the public and supply the information through the concerned officer to the Government, U.G.C., Chancellor etc. The Deputy Registrar shall help the members of the public to solve their difficulties concerning his Branch and entertain the complaints, if any, against the staff working under him.
  7. He shall carry out his duties and responsibilities in a just manner without any discrimination; and motivate his staff to take their work seriously and willingly and shall pay personal attention to their welfare.
  8.
    - i. The Branch where the Assistant Registrar is not provided, the Deputy Registrar shall carry out the functions, which are prescribed for the Assistant Registrar, as those of the Deputy Registrar.
    - ii. The Deputy Registrar shall ensure that the Assistant Registrar(s) and the subordinate staff in his Branch dispose of the cases exercise the powers and carry out the functions as per provisions of the Memorandum of Association and Bye-Laws, the decision of the Authorities, the order of the Government and the guidelines of the bodies like UGC, AICTE, MCI, DCI, etc.
  9. He shall be solely responsible for the work of the highly confidential nature that may be undertaken by his sections. He shall be responsible for preserving the documents, deeds etc. concerning his branch.
  10. The Deputy Registrar shall personally look into the court cases of his Branch and shall take steps to deal with the legal matters adequately; He shall keep the controlling officer informed about the cases and obtain his orders wherever necessary. He shall carry out any other work assigned to him by the higher officers of the Yenepoya (Deemed to be University) from time to time.

## **VI. Executive Engineer:**

The Executive Engineer, by whatever designation, shall be overall in charge of the new constructions, maintenance of the, building and the property of the Yenepoya University and shall work under the control of the Registrar and perform the duties and carry out the functions as follows:

- I.
  - a. He shall be responsible for all new construction works of the buildings, roads. Electrical installations and other structures on the campus or the property of the Yenepoya University
  - b. He shall prepare or cause to prepare the plans and estimates either himself or through Architect, scrutinize the estimates, ensure approval thereof by the respective Authorities, publications and/or issuance of tender papers, due scrutiny and analysis of the tenders and their submission to the respective Authorities for approval.
  - c. He shall ensure completion of all the preliminary formalities before the commencement of construction of new building/ electrical installation
  - d. He shall, personally, through his subordinate staff and the Architect, ensure that the construction/installation. is as per the design and plans approved; as per the, specifications prescribed and of the quality expected.
  - e. He shall measure or cause to measure the work done and ensure that the same is recorded in the measurement book
  - f. He shall issue instructions to the Architect and/or to the contractor about the proper implementation and proper progress of the construction installation
  - g. He shall verify the work with the measurement book, scrutinize the payment bills and certify the progress of construction/installation and recommend/approve the' payment thereof.
- II. He shall prepare and submit commencement certificate, compliance report, completion certificate, progress report and utilization certificate to the Government, U.G.C., and other funding agencies, as the case maybe.
- III. He shall obtain permission and certificates from the local municipal Authorities, the Government etc. before the commencement and after the completion of the construction/ installation and obtain their permission to put the building into use.
- IV. He shall maintain and preserve the documents like plans, blue prints estimates, architectural drawings, municipal permission, agreement with the architecture, agreement with the contractor etc. properly and safely.
- V. He shall maintain all the buildings public utility services like electricity water supply, drainage, telephone lines etc. on the campus and the property of the Yenepoya University.
- VI. He shall prepare the annual budget of recurring and non recurring expenditure of his section.
- VII. He shall periodically verify the stocks of the buildings, equipments, machinery and such articles put under his control.
- VIII. He shall supervise the work of the staff working under his control.
- IX.
  - a. He shall issue notice of the meeting of the Buildings and Works Committee and other committee there under, prepare agenda and keep the minutes of the meeting.
  - b. He shall refer the decisions of the Buildings and Works Committee or other committee to proper Authority or body for approval or ratification and if necessary to the Chancellor for his concurrence.

- c. He shall implement the decisions of the Authorities faithfully, effectively and expeditiously and periodically submit the compliance thereof to the Registrar.
- X. He shall maintain and update the history sheet of every building /property.
- XI. He shall deal with all legal matters and disputes connected with his branch.
- XII. He shall exercise such other duties and carry out such other functions as may be directed / entrusted to him from time to time.

**VII. Public Relation Officer:**

- i. The Public Relation Officer shall be under the direct control of the Registrar and shall assist the Registrar in the matter as per needs.
- ii. He shall be responsible to ensure that the information relating to the Yenepoya University is disseminated properly. He shall have to co-ordinate the services of media for communication purposes. Publicizing of social events, academic achievements of the Yenepoya University as concurred by the Registrar.
- iii. He shall maintain the enquiry service for students, staff and also for visitors to the Yenepoya University regarding courses being conducted, the examination, the admission reselect.
- iv. He shall forward information about the views and reaction of the community on the various decisions taken by the Yenepoya University, feedback, to review its existing programme and plan for the future. He shall keep liaison with colleges of academic, research and development organization or similar colleges and disseminate information through periodicals, booklets, press advertisements and audio visual media.
- v. He shall acquaint himself with printing techniques.
- vi. He shall assist the-Registrar in organizing press conferences as and when required by the Vice Chancellor or other Authorities.
- vii. He shall supervise; control the staff working under him.
- viii. He shall arrange to publish advertisements in newspapers approved by the Authorities and scrutinize the bills received from the newspapers and arrange the payment thereof.
- ix. He shall provide assistance and guidance to the students, parents and public in respect of the affairs of the Yenepoya University.
- x. He shall receive, welcome and entertain the dignitaries and arrange their accommodation and appropriate conveyance with the approval of the Registrar.
- xi. He shall prepare and arrange the distribution of invitation cards of various functions, programmes arranged or organized by the Yenepoya University.
- xii. He shall supervise and control the working at reception/inquiry counters.
- xiii. He shall prepare the information brochure of the Yenepoya (Deemed to be University) based on the factual information and academic calendar of the Yenepoya (Deemed to be University) consisting of the various events which are scheduled during the academic year.
- xiv. In addition to the above duties and responsibilities, the Public Relations Officer shall perform the duties and responsibilities as may be entrusted to him by the Registrar.



### **VIII. Assistant Registrar & equivalent cadres:**

1. The Assistant Registrar shall perform the duties as may be assigned to him from time to time, by the Vice- Chancellor, the Registrar, the Deputy Registrar or Head of the concerned Branch under whom he is working as a Head of the Section and he shall have the powers and responsibilities assigned by the Deputy Registrar.
2. He shall be in charge of the section and shall be responsible for their normal and smooth working.
3. He shall look after day to day work of the section of which he is in charge as per the instructions of the higher Authorities. He shall hold periodical meetings of his staff to ensure proper implementation of tasks entrusted to his section and in accordance with the provisions of the Memorandum of Association and Bye- Laws, decision of Authorities, Government orders and guidelines of the bodies like U.G.C. He shall take review of the difficulties faced and assist the staff to remove them or piece them before higher Authorities for solution.
4. He shall be responsible for planning and scheduling of the entire work of the section well in advance and shall take the periodical reviews of its execution.
5. He shall assign/re-assign specific jobs to his subordinates, and shall also decide the time- dimension in respect of the jobs so assigned where the norms are not laid down.
6. He shall ensure and maintain proper co-ordination and follow-up with other Department/Branch/Unit/Section and shall be totally accountable for follow up actions on the decisions given by the Authorities.
7. He shall be responsible for smooth and efficient running/working of the section and timely disposal of cases, letters, bills, reports, returns etc. and decide and maintain proper filing procedure.
8. He shall ensure that the cases/letters requiring immediate and urgent disposal are dealt with immediately.
9. He shall deal with non-routine cases referred to him by the supervisory staff working in his section. He shall call meetings of his staff periodically, train the members of his department and provide guidance to all.
10. He shall dispose of cases of importance quoting the authorization(s) clearly applicable and submit the same to 1 officer, with clear and specific comments for their approval and sanction, if required.
11. He shall keep exhaustive and self-contained notes of important papers pass down and keep track of their movements till final disposal and also consider the proceeding of the work.
12. He shall exercise constant vigilance which is sine-qua-non of speedy and qualitative disposal of work, safety of the record, regular and orderly behavior of the staff.
13. He shall prepare as per rules and specifications the confidential and assessment report and submit them to the Deputy Registrar. The Assistant Registrar may issue warning in writing, to the erring staff working under him and if there is no improvement report the case of such employee to the Registrar through the Deputy Registrar for suitable disciplinary action.
14. He shall record verbal discussions, orders and instructions, which shall be attested by the concerned higher officer.

15. He shall prepare item for consideration of the Board of Management, Academic Council or for other Authorities/bodies of concerned with his section, and execute the decision of the Authority faithfully, effectively and expeditiously.
16. He shall appraise the plan which he may prepare and its time schedule to employee working under him, watch results, appraise responses and motivate individuals towards achievement of objectives. He shall also deal with staff in a just manner, show no discrimination on whatever ground and look after the welfare of the employees working under him.
17. He shall carry out any other work assigned to him from time to time by the higher officers.

**IX. Security Officer:**

The Security Officer shall be overall in charge of the safety and security of the employee's teachers, students and the property of the Yenepoya (Deemed to be University) and shall work under the control of the Registrar or such other officer as may be directed by the Registrar.

He shall be personally responsible for the safety of the staff, teachers, student's officers and the property. The Security Officer shall ensure that no encroachment or the Yenepoya (Deemed to be University) property/campus or building takes place and that no unauthorized persons are allowed to enter the premises of the Yenepoya University. In case of such encroachment and insecurity or of the situation created by riot etc. he shall have to take help of the police in emergency and in ordinary course with the permission of the Registrar.

He shall be responsible in respect of all routine matters pertaining to the recruitment optimal utilization and deployment of security staff, their postings, substitute appointments, sanctioning of all kinds of leave to them, transferring of the watchman from one place to another and to take the disciplinary actions, if any, in order to ensure proper security. In case of major disciplinary action, the matter shall be submitted to the Registrar.

He shall perform such other duties and functions as may be assigned to him by the Registrar from time to time.

**X. Superintendent, & equivalent cadres :**

1. He shall receive the mail, the papers and files and initial and date each receipt in token of his having seen it and to record therein instructions wherever necessary for the guidance of the staff working under him.
2. He shall deal with correspondence which he himself can dispose off without the assistance and guidance of the officers and those letters which in his opinion are important enough to be seen by the higher officers at the initial stage or on which he desires their instructions.
3. He shall mark and distribute the correspondence to the subordinate staff dealing the matter/subject.
4. He shall exercise, check and follow the correspondence received from the Government of India, U.G.C., the other Universities, statutory councils, etc.
5. He shall draft notes and independently deal with cases which are routine in nature. He shall prepare notes with reference to relevant rules, regulations, precedence and future implications etc. on special cases and submit the same to higher officers.

6. He shall maintain the muster roll of the members of the staff working under him and inform the Registrar/Principal about late attendance, absentees etc.
7. He shall scrutinize notes/cases submitted by the lower staff, put his own remarks/suggestions, if any, and submit the same to the Registrar and/or Principal, as the case may be.
8. He shall attend meetings, issue notice of meetings, prepare agendas, prepare draft minutes of the meetings and take follow-up actions.
9. He shall supervise the work of subordinate staff in the form of periodic check of the work carried out by the staff.
10. He shall give instructions regarding destruction of old records according to the directives of Branch Officer / Section Head.
11. He shall attend to such other work as may be given to him with the approval of the higher officer/Head of the Department.

**XI. Junior Engineer:**

The Junior Engineer shall work under the direction of the Executive Engineer and carry out following functions,

1. He shall be responsible for check-up of each building at least once in a month and reporting observations with suggestions of maintenance to higher Authorities. While inspecting, he shall keep liaison with the representative of the user department.
2. He shall prepare plans and estimates for minor repair works after inspection and as directed, and carry out the repairs under directions of the Registrar, exercise control quality and economy.
3. He shall attend emergent repairs especially in residential buildings, where safety is a problem he should not wait only on reporting but take quick remedial measures.
4. He shall keep proper maintenance of internal roads, gardens cleanliness of building etc.
5. He shall keep accounts of stores, tools and plans which are under his custody.
6. He shall maintain the register of masonry works and printed return of buildings.
7. He shall check maintenance book kept by the beat-in-charge including checking mazdoors attendance periodically.
8. He shall prevent and remove encroachment on Yenepoya University lands.
9. He shall attend electrical deficiencies with the help of the electrical wing. Inform well in advance where electrical installation needs to be attended while doing civil work so that delay and accidents area voided.
10. He shall report damages if any, due to any reason promptly.
11. He shall attend all the duties as prescribed in public works manual, government circulars etc.
12. He shall carry out, any other duties assigned by the Registrar and/or Executive Engineer, from time to time.

**XII. Personal Assistant:**

1. The Personal Assistant shall be responsible to the officer whom he is working.
2. He shall be responsible for their personal correspondence, appointments, engagements etc. other than normal office duties.
3. He shall perform the duties and responsibilities assigned to him by the concerned officer from time to time
4. He shall maintain programme sheets of the officer, prepare drafts of meeting and correspondence of routine nature.
5. He shall organize plan and follow tour programme of the officer.
6. He shall maintain the confidential and other files as per requirements and make suitable arrangements for the safe custody.
7. He shall sort out the mail and dispatch it promptly to relevant section along with the instruction of the officer.
8. He shall issue reminders etc. in respect of such cases, where the officer has called for information/date or has suggested or ordered immediate action in any of the cases.
9. He shall maintain absolute confidentiality and integrity in respect of the work assigned to him.

**XIII. first Division Assistant & equivalent cadres:**

- I. The First Division Assistant and the employee in equivalent cadre shall
- II. Exercise, check and follow up the incoming letters received from the Department/Colleges Students etc.
- III. Point out mistake or misstatements, if any, and draw attention wherever necessary, to the statutory or customary practice and point out rules wherever they are concerned.
- IV. Submit notes/drafts for approval of the officers through the superintendent/section officer.  
scrutinize notes/cases submitted by the lower staff, put his own remarks/suggestions, if any, and submit the same to the Superintendent, as the case may be.
- V. Ensure the prompt dispatch of letters.
- VI. arrange filing of the papers and arrange in order, year-wise and subject-wise
- VII. Maintain calendar of periodical returns for incoming and outgoing, separately and ensure timely submission of such returns.
- VIII. Attend to such other work that maybe assigned to him with the approval of the Registrar.

**XIV. Junior Assistant & equivalent cadres**

The Junior Assistant and the employee in equivalent cadre shall

- I. Submit notes/drafts for approval of the officers through the superintendent.
- II. Enter the mail and letters and inter-departmental correspondence/files etc. letters documents eh. Addressed to the officer by name will be received by the officer themselves or through PA's stenographers/Secretaries.
- III. Acknowledge letters received.

- IV. Submit data to the superintendent/section officer/assistant section officer/assistant superintendent daily, dispatch and watch every entry in the register bearing the initials of the recipients of the letter/ documents etc.
- V. Prepare list of letters issued during a week to which replies have not been received and for which reminders are required to be sent.
- VI. Send relevant extracts or any part of a receipt, through section officer/ assistant registrar/superintendent to the section, branch concerned for remarks and/or necessary action.
- VII. Open and maintain service-book/ new file(s)/note-book(s),- do copying work/rubber stamping and to attend to all types of administrative/ clerical work.
- VIII. Maintain different registers, forms
- IX. Keep a note-book to watch timely disposal of urgent papers.
- X. Collect the relevant material required for taking action on a receipt viz, file on the subject, if one already exists, other papers/ files, if any, refer to any receipt and any other relevant material etc.
- XI. Supply other relevant facts and figures and also papers pertaining to previous decisions of policy.
- XII. Prepare routine letters/replies for approval where noting is not required to issue reminders.
- XIII. Maintain daily work sheet and submit weekly arrears report to the immediate superior.
- XIV. Prepare monthly arrears report and submit it to the immediate superior officer for perusal and guidance/ instructions.
- XV. Carry out any other work assigned from time to time, with the approval of the Registrar.

**XV. Deputy Finance Officer:**

The Deputy Finance Officer shall

- I. Ensure that the various payments made from the funds are within budgetary provision and with the sanction of Competent Authorities.
- II. Attend to correspondence with Central Government, UGC and other higher Authorities with the assistance of the Finance Officer.
- III. Ensure proper attendance of staff working under him.
- IV. Ensure accuracy in bank reconciliation statement and budget, final accounts of funds assigned to him and ensure that non—revenue account appearing in particular account of fund are reconciled.
- V. Attend to audit queries and to reply audit report to submit necessary statement of accounts.
- VI. Recover grants due to the Yenepoya University from the outside bodies including the approval of the Government of India, U.G.C. etc.
- VII. Report to the Finance Officer, about such of the financial provisions of Memorandum of Association and Accounts Code that are followed by the departments/ sections which are attached to him.
- VIII. Attend to such other works assigned to him by the Finance Officer.



**XVI. Superintendent or equal cadre:**

The employee appointed as Superintendent or equal cadre shall

- I. Prepare bank reconciliation statement, budget and final accounts of funds entrusted to him.
- II. Prepare periodic accounts of funds entrusted to him and to assist the chief/deputy accountant in furnishing of figures of expenditure to higher authorities.
- III. Maintain books of accounts, payment register and funds entrusted to him.
- IV. Attend to all the matters pertaining to deduction of income tax, professional tax and l.i.c. premium, c.p.f. from the salary of individual employee.
- V. Attend to routine correspondence with banks and other departments.
- VI. Supervise the work of accounts clerk under him and to pass the bill for payment as per relevant rules.
- VII. Attend to such other works as may be assigned to him with the approval of the, finance officer/ deputy registrar (finance and chief or deputy accountant).

**XVII. Senior assistant and equal cadre:**

The employee appointed as Senior assistant and equal cadre shall -

- I. Write various books of accounts such as ledger, salary register, income tax register, etc.
- II. Ensure proper filing of vouchers and papers.
- III. Prepare bills for payment.
- IV. Prepare the returns.
- V. Report to the assistant accountant/ deputy accountant about any mistakes noticed by him in book of accounts.
- VI. Attend to such other work as may be assigned to him with the approval of the finance officer, accountant, from time to time.

**XVIII. Garden Superintendent:**

The Garden Superintendent shall be under the direct control of the Registrar, or such other officer as may be directed by the Registrar.

He shall be responsible for maintenance and development of garden(s) on the campus of the Yenepoya University. He shall also supervise the work of gardeners and other persons working under him and regulate the working of the staff working under him. He shall assist beautification of the campus and also for development of the Botanical garden. He shall carry out the plantation programme taking the help of the social forest department of the Government and other relevant body.

**XIX. Curator :**

The curator shall perform the following duties

- I. Shall acquire, register, store, display and conserve museum objects.
- II. Shall publish the results of research.
- III. Shall ensure the safety and security of the museum materials under his charge against damage and degeneration, vandalism, pilferages or burglary and accidents.

- IV. Shall offer guide services to the visitors in general and in the modern concept of a museum's functions, fulfill the duties of a teacher and of students at all levels of education.
- V. Shall prepare a detailed plan for the development of the museum for long term as well as short term durations.
- VI. Shall develop, update and maintain the museum literature including purchase of new books, framing the rules for issuing the books, preservation of the books.
- VII. Shall prepare ethnographic accounts of the various tribes/ communities, particularly of Karnataka with special emphasis on the use of material culture.
- VIII. Shall prepare a detailed list of museum articles giving all the details such as local and the english names of the articles, the place of procurement, names of the tribe/community using it; a small sketch photograph indicating different parts etc. A photograph showing the mechanics of the instrument, the activity, date of procurement, etc. Providing an index card for future details.
- IX. Shall keep the museum presentable, neat and clean.
- X. Shall take suitable steps for creating an awareness among the common people by way of writing popular articles, arranging exhibitions, film shows, preparing brochure, pamphlets providing information about the museum.
- XI. Shall maintain registers for the equipments purchased, to ensure its proper use, arrange for their repairs or write off etc.
- XII. Shall allocate and supervise the duties and responsibilities of the museum assistant in consultation with the head of the department.
- XIII. Shall acquire modern techniques and methods of preservation of museum exhibits.
- XIV. Shall conduct field tours for ensuring the collection of museum artifacts and other exhibits.
- XV. Shall perform any other duties that may be assigned from time to time.

**XX. Curator Assistant :**

The Curator Assistant shall perform the following duties:

- I. Shall maintain museum grants register, acquisition register, accession register, visitor's register, library register etc.
- II. Shall undertake minor replacements, repairs and servicing of the museum equipments,
- III. Shall invite quotations and order for apparatus and equipments required.
- IV. Shall withdraw and settle financial advances required for purchases.
- V. Shall arrange for and supervise anti- termite treatment in the museum and laboratory hall.
- VI. Shall supervise cleaning and orderly up-keep of the museum.
- VII. Shall order books for the museum library catalogue them and prepare their accession cards.
- VIII. Shall assist the curator while on collection tours.
- IX. Shall receive visitors, school excursions and offer guided tours to them.
- X. Shall do photography work needed for documentation and preparation of condition reports of the museum artifacts.
- XI. Shall undertake and complete annual stock verification.
- XII. Shall assist the curator in all technical work pertaining to the museum.
- XIII. Shall perform any other duties assigned from time to time.

**XXI. Store Keeper:**

The employees appointed as Superintendent, Senior Assistants, Junior Assistants in the Department/Section of Purchase & Stores,

- I. He shall maintain the store items either consumable or non consumable committed to his charge in proper manner.
- II. He shall maintain the record of procurement and disbursement of such items along with the cost of its procurement, transport, octopi, duty, storage charge in proper manner.
- III. He shall, keeping in view the demand level, maintain adequate stock of each item and ensure that the stocks are adequately recuperated.
- IV. He shall maintain the accession and store register and bin cards properly and up-to-date.
- V. He shall in consultation with the appropriate Authorities dispose of the stock of the items which are not required for long time or which are spoiled or rendered useless, after following the procedure and complete the procedure for writing the same off.
- VI. He shall undertake periodical and annual stock verification and evaluation and submit the accounts thereof to the Head of the Department. He shall furnish the financial estimates for his annual requirements and shall comply with the audit objections, if any, to the satisfaction of the auditor(s).

**XXII. Receptionist:**

The receptionist shall work under the direct control of the public relation officer.

- I. He shall receive the guests, visitors, members of the various organizations and student community etc. and guide them to the proper sections to meet their requirements.
- II. He shall be well acquainted with examination dates, announcement of result, various programmes of the meetings, publications and other activities of the Yenepoya University and furnish such information to the person making enquiries.
- III. He shall perform such other duties and responsibilities as may be assigned to him by the public relations officer, from time to time.
- IV. He shall display on the notice-board important notices, circulars etc. received from the various sections.

**XXIII. Telephone operator:**

- I. He shall operate the telephone board and take messages if required, inform the telephone department/the mechanic if there is any fault with the board. Follow up the payment of telephone bills, maintain records of the outward calls attended.
- II. He shall ensure that no unofficial local /STD/ISD/trunk calls are made without prior permission of the higher officer and prior payment of requisite charges.
- III. He shall carry out any other works as assigned by the concerned officer, from time to time.

**XXIV. Driver :**

- I. The driver shall maintain and drive the vehicle, of whatever nature, put to his charge very efficiently. He shall ensure that the vehicle under his charge is cleaned and washed daily.
- II. He shall, ensure that the engine of such vehicle is maintained in proper condition by undertaking regular maintenance and care, which would include daily, weekly monthly and periodically, as may be prescribed by vehicle incharge.
- III. He shall, ensure that all the parts of the engine as well as vehicle including the body the wheels are maintained properly and due care is taken to ensure that the part which are worn out are either repaired or replaced in time. He shall ensure that servicing of the vehicle is carried out after certain period or after certain limit of mileage, running including change , or replacement of various oils maintenance of battery, dynamo, carburetor, gear system, break assembly, electrical fittings etc.
- IV. He shall maintain appropriate log book of using the vehicle and other maintenance repairs carried out.
- V. He shall report for his duties at a given time and carry out the duties without any grouse.

**XXV. Laboratory Assistant:**

The employee appointed as Laboratory Assistant shall

- I. Assist students and teachers in conducting practical's and experiments.
- II. Maintain dead stock register and register of consumable materials and to undertake the end of the academic year, a physical stock verification of laboratory materials.
- III. Assist the incharge of laboratory in purchase and procurement of laboratory materials
- IV. Supervise the work of laboratory attendants working under him.
- V. Assist the incharge of laboratory in routine administrative matters and to ensure that the laboratory facilities are not misused by any person.
- VI. Report about breakages/losses in laboratory, to his superiors.
- VII. Report to in charge of laboratory about misbehavior by the students inside the laboratory.
- VIII. Ensure that all the cupboards, doors, windows and gates are properly closed by the laboratory attendants.
- IX. Prepare the chemicals as per the requirement of the practical's, arrange for the plant material, specimen etc. Required for the day to day practical's.
- X. Assist the laboratory incharge during the practical examinations.
- XI. Attend to such other duties as may be specially brought to his notice, with the approval of the Head of the Department/Principal.

**XXVI. Laboratory Attendant:**

The employee appointed as the laboratory attendant shall :

- I. Clean laboratory and keep laboratory materials including apparatus and equipments in proper place.
- II. Render physical assistance to students, teachers and other laboratory staff in movement of laboratory equipment, instruments, chemical and other materials within and outside the laboratory.

- III. Assist laboratory assistant and other laboratory staff in physical stock verification of laboratory equipment, instruments, chemicals and other materials.
- IV. Render physical assistance to students and teachers in conducting practicals and experiments.
- V. Report about loss of laboratory equipment and other materials to his superiors.
- VI. Open and lock cupboards, doors, windows and gates of laboratory.
- VII. Attend to delivery of letters connected with laboratory and its staff.
- VIII. Clean the instruments, glassware, etc. Before the start of the practicals or after the practical's are over.
- IX. Assist the laboratory incharge during the practical examinations.
- X. Attend to such other duties which are assigned to him by the laboratory staff, with the approval of incharge of the laboratory.

**XXVII. Watchman:**

- I. The employee appointed as the watchman, shall guard the property committed to his charge during the period of his duty which include both movable and immovable property.
- II. He shall ensure that, the movable or immovable property of the employee, teacher, student residing at the campus is properly guarded.
- III. He shall during the hour of the duties remain alert, and ensure that anyone moving around suspiciously or in a manner which he cannot express satisfactorily; is nabbed or apprehended and produced before the security Authority for further investigation.
- IV. He shall prevent any person from causing bodily hurt to any other person within the jurisdiction of his duty. He shall prevent any person causing harm to any building, tree plants, garden, installation of any kind within his jurisdiction.
- V. He shall attend any agitation, demonstration or procession within his jurisdiction with alertness and alacrity and ensure that no untoward incident takes place by preventing any damage, or committing any such Memorandum of Association. In case any person commits any such destructive behavior or damage to any property or any untoward behavior he shall report the same to the security officer.
- VI. He shall maintain proper turnout, discipline and integrity.
- VII. He shall perform such other duties which are assigned to him by the security officer from time to time.

**(28) Jamadar, Naik and Hawaldar : Deleted**

~~He shall perform ordinary duties of a peon in addition to the following duties:-~~

- a. He shall supervise and control all the peons working under him and see that they attend punctually, work properly and ~~maintain office discipline, report absentees, late attendance, misbehaviour etc. to the Authorities.~~
- b. ~~He shall see that peons observe office timings.~~
- c. He shall see that peons open windows and blinds at the start of the day, switch on lights, fans etc.
- d. He shall arrange for distribution of peons and account for their movements.
- e. He shall arrange for moving of muster rolls to and from administrative branch.
- f. ~~He shall arrange for distribution of office circulars.~~



- g. He shall arrange rest-intervals of peons to suit the convenience of the officers of departments.
- h. He shall maintain leave roster of peons, so that strength of peons is not abnormally impaired, and submit it to the ~~administrative branch by making necessary arrangements during leave etc.~~
- i. ~~He shall open and close office premises, where necessary.~~
- j. He shall see that cleanliness of the office is maintained by supervision.
- k. He shall see that peons and all other who are expected to be in uniforms and badges wear the same punctually.
- l. He shall get the floor cleaned with water, insecticiding etc. periodically.
- m. He shall carry out any other work that may be assigned by the concerned officer from time to time.
- n. Wherever the post of Jamadar is not in existence the naik/hawaldar shall perform the duties of supervising the peons, ~~hamals and sweepers.~~  
He shall perform such other duties and responsibilities as are assigned to him by the concerned officer, from time to ~~time.~~

**XIV. Peons:**

The employee appointed as peon/peon cum-hamal shall

- i. Open and close the doors and windows, etc. Switch on and off lights and fans as and when required.
- ii. Do dusting of office furniture, books, book shelves, files tables equipments, machines etc.
- iii. Pack, unpack, stamp, paste, seal, sort, arrange, etc., papers, books, parcels, cards circulars, agendas, minutes, etc. As per instructions.
- iv. Carry messages, letters, papers, books, journals, and others library materials, files registers, etc. From one place to another inside the office or outside as the case maybe.
- v. Carry furniture items, machines, equipment and other portable items from one place to another inside the office or outside as the case maybe.
- vi. Control check counters, and to ensure security of the library, laboratory materials and report about loss and damage of books and any other materials to seniors.
- vii. Operate franking machine, photocopiers, resograph / Xeroxing machines etc. Whenever necessary.
- viii. Undertake repair of books and other materials.
- ix. Carry out work of similar nature which the seniors may assign.
- x. Serve drinking water, tea etc. To employees and visitors when required.
- xi. Carry out any other work as may be assigned to him, from time to time, by his seniors.

**XV. Sweepers:**

Sweeping and cleaning the lavatories, latrines, floors and drainage pipelines in the building and any other office work related to cleaning as assigned by the **Section Head**/officer.

Collect the garbage and debris and dispose off or store the same at appropriate place assigned officer concerned and any other work as may be assigned to him by the concerned from time to time.

**XVI. Technical / Other Staff:**

Technical staff such as computer operator, programmer, research officer, stenographer, junior research officer, research assistant, research investigator, cartographer, curator, field collector artist, photographers, glass blower, technicians (A,B,C and E) fitter, mechanics, typist, animal caretaker, medical record technician, nurse, compounder, dresser, x-ray technician, lab. technician etc. shall perform the respective duties and responsibilities assigned to them by the Heads of their Departments/Officer under whose control they are placed, for the time being. They shall not refuse the work/duty assigned to them by the Head of the Department/Officer. Refusal of work/duty shall be treated as insubordination and dealt with according to the provisions made under these Bye-Laws.

**YENEPOYA UNIVERSITY, MANGALORE**

Dear/Madam,

1. With reference to your application dated you are hereby appointed to the post of ..... in the Yenepoya University on a starting pay of Rs ..... p.m. in the of pay scale of
2. Your appointment is on probation/temporary upto .....During the period of probation, your services can be discontinued by giving one month's notice on either side.
3. After the completion of the probation period of one year normally you will be entitled to annual increment subject to your satisfactory performance and conduct and a report thereof from concerned Head of the College Section/Unit/Department.
4. Your appointment is on probation and it shall not be deemed as confirmed unless you are issued with an order of confirmation at the end of your probation.
5. Your services will be governed by the provisions of the Service Conditions prescribed by the Yenepoya University from time to time and, Bye-Laws prepared there under for the time being in force and the Service Conditions (Terms and conditions of service of employee).
6. You will be entitled to receive the allowances as per rules prevailing at present and as may revised from time to time.
7. If your acceptance is not received upto your appointment is liable to be cancelled/ withdrawn.
8. In case you are accepting the appointment, you shall have to submit the discharge certificate from your present employer, if any, and will have to sign an agreement or give an undertaking in the prescribed proforma (enclosed) before joining the duties.

Registrar

**Appendix -I**  
**YENEPYA UNIVERSITY**  
**MANGALORE**  
**PROFORMA OF JOINING LETTER**  
**(Under YU.164)**

Shri/Smt/Kum .....

The Registrar, Yenepoya University, Mangalore

Sir,

I have received the letter of appointment No. .... dated ..... and the conditions mentioned therein and I declare that I agree by the terms and conditions including pay scales mentioned therein

Thanking you,

Yours faithfully,

Designation: Name and signature of the Employee

Reference No. of appointment letter and date: .....

**Appendix-II**  
**YENEOPYAUNIVERSITY MANGALORE**  
**CONTRACT [Under YU.165 (1)]**

This contract made on the ..... day of ..... 2008, between Shri/Smt. .... And the Registrar of the Yenepoya University, Mangalore.

It is hereby agreed by and between the parties as under:

1) The Registrar 2) Shri/Smt ..... Appointed as .....  
under letter no ..... dated.....

Signature of the employee

Registrar

Place: Mangalore

Date: Date:

Witness:

Name	Address	Signature
1).....	.....	.....
2).....	.....	.....



**Appendix No. III**  
**Deleted**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**REPORT ABOUT THE ABILITY, CONDUCT AND PERFORMANCE OF**  
**APROBATIONER**  
**{YU.166 (3)(a)}**

1. Name:
2. Designation
3. Period of report
4. Leave taken during the period

1 ~~Industry .iii)~~ ~~Application iv)~~ ~~Initiative~~  
4 ~~Accuracy~~  
5. ~~Punctual in work 6~~ ~~Promptness~~  
7 ~~Relations with superiors 7)~~ ~~Relation with colleagues 8)~~  
~~Dependability.~~

I. Performance Holidays on

c. ~~General Impression d)~~ ~~Leadership qualities. 3~~ ~~Knowledge~~

II. ~~General~~

III. ~~Recommendations~~

~~Fit to be continued in the post or not.~~

~~Signature~~

~~Designation~~

**Appendix No. IV**  
**ESTABLISHMENT SECTION [YU. 182]**  
**Application for Casual Leave**

**a)** Name .....

**b)** Designation..... Section.....

**c)** Period of Casual Leave applied for ..... days (from ..... To.....  
with permission to prefix/suffix Sundays) and Holidays on .....

**d)** Reason.....

Date:..... (Signature of Employee) Remarks of the Section concerned

Leave due ..... days. ....

Shri/Smt./Kum,..... may/may not be granted leave applied  
for by him/for the reason that .....

Deputy Registrar/Assistant Registrar/ Principal Concerning Officer

Remarks of the Establishment Section

Casual Leave for .....days from.....to..... is sanctioned  
/refused.

Casual Leave balance after deduction.....

Registrar/Principal

N.B. - In case of Colleges Principal.

**signatures**

**Assessing Authority Reviewing Authority Accepting Authority**

**Appendix-IV(A)**  
**ESTABLISHMENTSECTION**

Application for Leave [Under YU.183, 184,185]

1. Name .....
2. Designation.....Section/Unit.....
3. of leave and period of leave required..... from..... to
4. Reason.....
5. Address during absence of leave .....
6. Earned Leave/Commutated Leave/Half Pay Leave

Date:..... (Signature of Employee)

Remarks of the Section Concerned Shri/Smt./Kum. may/may not be granted leave applied for by him/her .Shri/Smt./Kum. . may please be appointed as substitute to hold additional charge of post of /to act at during the period of leave applied for by him/her for the reason that.....

Deputy Registrar/Assistant Registrar Principal

Remarks of the Establishment Unit EL days. H.P.L. days  
Earned Leave for days from ..... To .....  
Commutated Leave for days from ..... To .....  
Half Pay Leave for days from ..... To ..... may be sanctioned/refused.  
It is certified that Shri/ Smt/ Kum. would have continued to officiate as but for proceeding on leave.  
Appointment of Shri/Smt./Kum to act as/to hold additional charge of post of as substitute .....may please be approved during the said period of leave.

Leave sanctioned/Refused

**Appendix-V**  
**YENEPOYA UNIVERSITY, MANGALORE**  
**FORM OF SUSPENSION ORDER (Under YU.197(1))**

1. Shri/Smt..... is hereby informed that the charge(s) of (1).....  
(2).....  
(3).....  
etc. have been proved prima-facie.

2. Shri/Smt..... is hereby suspended under the provisions of Bye-Law.....of the Service Conditions, with effect from..... pending further investigation in the matter. He should hand over the charge of his/her post as directed by his superiors immediately.

Competent Authority

Place: Mangalore Date:

**Appendix No. - VI I**  
**YENPOYA UNIVERSITY ,MANGALORE**  
**FROM APPOINTMENT OF ENQUIRY AUTHORITY/OFFICER/COMMITTEE**  
**[Under YU.198]**

As it has been **decided** to hold a Departmental inquiry into conduct of Shri.....on the charge(s) mentioned in the margin, an Authority/Officer consisting Shri ..... (Designation).....is appointed to hold the inquiry in accordance with the prescribed procedure. A proforma in which the charge sheet is to be served on Shri.....is attached.....Shri.....is requested to see that they/he complete/s the inquiry and submit/s their/his report expeditiously and in any case on or before.....

Competent Authority

Place:

Mangalore

Date:



**Appendix -VI**  
**YENPOYA UNIVERSITY ,MANGALORE FORM OF CHARGESHEET**  
**(Under YU.198(3))**

1. Name and Designation.....appointed as Inquiry Authority /Officer by the order No..... dated.....issued by.....to hold a Departmental Inquiry into your conduct do hereby charge (Shri.....)asunder:-

(1)

(2)

Etc.

A statement of allegations on which the charges are based is attached herewith. A list of documents and of the witness by which each article of charge is proposed to be sustained is also enclosed.

You are called upon to put in your written statement of defence along with such documents as you intend to rely on in your defence in answer to the above charge within ..... days from the date there of and to state at the same time whether you desire to be heard in person. If you desire to examine any witness in your defence, you are called upon to furnish at the same time the names and addresses of your witnesses. On your failure to put in your statement to furnish the names and addresses of your witness, within the time allowed to you, it will be presumed that you do not wish to make a statement or to furnish the names and addresses of your witness.

You are further called upon to state as to why above charges or any of them, if held proved, should not be considered as good and in the rule of the Service Conditions of (Terms and Conditions of service of the non-teaching employees 2006. Any representation that you make with regard to the action taken against you would be considered by the Competent Authority before the final order of punishment is passed to you. You may, if you desire, apply for copies of the relevant documents.

Competent

Authority

**Appendix-VII**  
**YENPOYA UNIVERSITY, MANGALORE**  
**FORM OF CONFIDENTIAL REPORT (Under YU 170(1))**

- 1) Full Name:.....
- 2) Father's Name:.....
- 3) Date of Birth:.....
- 4) Place of Birth:.....
- 5) Nationality and Religion:.....
- 6) Whether belongs to :SC/ST/Other Backward Classes
- 7) Home to Family :.....
- 8) Property held:.....
- 9) If Yes what and where?: .....
- 10) Date if joining Yenepoya University, Mangalore:.....
- 11) If service is not continuous:.....
- 12) Details of previous service:.....
- 13) Mother Tongue:.....
- 14) Language known:.....
- 15) 

SL. No.	Qualification and degree	University
1.	.....	.....
2.	.....	.....
3.	.....	.....
4.	.....	.....
5.	.....	.....

(Estimate of General ability and character of Grade \_A' to Grade \_C' officers and Employees)

  1. Name:
  2. Period of Report :
  3. Post of posts held:
  4. Industry and Application:
  5. Capacity to get work done by subordinates:
  6. Relations to get work done the public:
  7. General intelligence:
  8. Technical ability (where relevant)
  9. Special aptitude:
  10. Administrative ability including: Judgment , initiative and drive.  
Integrity and character:
  11. Whether powers delegated are fully utilized?:
  12. General Assessment:

Signature , Name and Designation of the Reporting officer

Date:

Place: Mangalore

Remarks of the Reviewing officer

3. Length of service under Reviewing officer:
4. Do you agree with the Reporting officer (if not, state specifically the remarks with which you do not agree) or do you wish to modify or add to his assessment?

Date: \_\_\_\_\_ Signature, Name and Designation of the reviewing officer

Place : Mangalore

Ephemeral Roll of the year Office of the Full Name :  
 (in block letters) Post held:  
 Date of joining the office

To be used by the reporting officer for giving CR of the employees.

Date	Brief remarks regarding officer's work character of conduct deserving to be noted including commendations, warnings, rewards or punishments.	Reference to file of case, if any	Signature
1	2	3	4

To be destroyed one year after the Confidential Report for the period has been sent, if not adverse remarks are given on the basis of the Ephemeral roll, then the Ephemeral Roll shall be kept with the relevant confidential report till representation if any against the adverse remarks is decided.