



## FACULTY, STAFF & STUDENTS



## **VISION**

To be known globally for learning innovations, academic excellence and socially relevant research outcomes; strive to become the preferred destination for students, faculty, employers and collaborators & pride of alumni and the community.

## **MISSION:**

1. Focus on quality of learning and innovation in all programmes with rigour and relevance.
2. Develop competent professionals - innovative, analytical and independent; committed to excel in all their endeavours.
3. Develop linkages globally with government, industry, academia and alumni for knowledge generation, dissemination and application.
4. Encourage multi-disciplinarity in programmes and projects to explore new frontiers of knowledge.
5. Continuously improve physical, academic and information infrastructure in pursuit of academic excellence.
6. Create a nurturing environment for lifelong learning.
7. Focus on entrepreneurship and socially relevant projects.



## FOREWORD

I am delighted to release this booklet on “Ethics Policy” which should serve as a first positive step towards realization and reinforcement required in all of us to remain constantly wedded to the centrality of purpose, vision and mission of our The NorthCap University .

It is my strong conviction that the objectives and the goals we set for ourselves are best achieved through a very strong commitment to the vision and mission, patently based on ethics and core values.

I therefore, urge upon all the members of The NorthCap University family to understand the meanings and the spirit behind this small but powerful booklet and adopt its meanings and purpose, in our daily professional lives.

A handwritten signature in black ink, appearing to read 'Sharma', is positioned above the name of the signatory.

**Gurugram**  
Date: 2 June 2016

**Brig. S K Sharma (Retd.)**  
Pro Vice-Chancellor



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THE NORTHCAP UNIVERSITY®  
NAAC ACCREDITED

(Formerly ITM University, Gurugram)



## **ETHICS POLICY FOR FACULTY & STAFF**

### **1.1 Introduction**

The NorthCap University is committed to the highest ethical and professional standards of conduct in pursuit of its mission to provide rigorous high quality education in India to meet national needs and international standards. Accomplishing this mission demands integrity, good judgment at commitment to the University's growth from all members of The NorthCap University.

While The NorthCap University affirms each person's accountability for individual actions, it also recognizes that they share a set of core values and ethical conduct. (The University acknowledges that an organizational culture, grounded in trust is essential to support these core values and ethical conduct.

The following Statement of Core Values and Code of Conduct is intended to build, maintain and protect that trust, recognizing that each member of the University is

responsible for doing his/her part by upholding the highest standards of integrity and character.

## **1.2 Applicability**

The NorthCap University Ethics Policy applies to all members of The NorthCap University. The NorthCap University Ethics Policy governs all conduct performed by or on behalf of The NorthCap University. Violations of The NorthCap University Ethics Policy may result in disciplinary action including dismissal or termination of service.

## **1.3 Statement of Core Values**

Every member of The NorthCap University is required to adhere to The NorthCap University Statement of Core Values – Integrity, Excellence, Accountability,® and Respect – that form and guide the daily work of the organization.

- 1. Integrity** – We will be honest, fair, impartial and unbiased in our dealings both with and on behalf of The NorthCap University.
- 2. Excellence** – We will perform our duties to foster a culture of excellence and high quality in everything we do.
- 3. Accountability** – We firmly believe that education

in the form of scholarship, research, teaching, service and developing others is a public trust. We will live up to this trust through safeguarding our resources and being good stewards of the human, intellectual, physical and fiscal resources given to our care.

4. **Respect** – We recognize the inherent dignity and rights of every person, and we will do our utmost to fulfill our resulting responsibility to treat each person with fairness, compassion and decency.

#### 1.4 **Purpose of the Code of Conduct**

The aim and purpose of the Code of Conduct is to guide members of The NorthCap University in applying the underlying The NorthCap University Statement of Core Values to the decisions and choices that are made in the course of everyday endeavors in managing the affairs of the University.

#### 1.5 **Code of Conduct** (Formerly ITM University, Gurugram)

We will:

1. Uphold the highest standards of intellectual honesty and integrity in the conduct of teaching, research, and administration.
2. Carry out assigned duties and professional

responsibilities in such a manner so as to further The NorthCap University mission.

3. Function as good stewards of the resources and information entrusted to our care.
4. Treat fellow employees, students and the public with dignity and respect.
5. Refrain from discriminating against, harassing or threatening others.
6. Recognize and respect the intellectual property rights of others.
7. Comply with all applicable laws, rules, regulations and professional standards.
8. Avoid political activities.
9. Report wrongdoing to the proper authorities; refrain from retaliating against those who report violations; and cooperate fully with authorized investigations.
10. Safeguard human health and safety and the environment in all The NorthCap University operations and activities.
11. Disclose and avoid conflicts of interest.
12. Refrain from accepting any gift or thing of value in those instances prohibited by law.
13. Refrain from using our position or authority improperly to advance the interests of a friend or relative.



## **1.6 Ethics in Teaching**

Faculty members involved in teaching and training of graduate students should treat the intellectual development of students as their highest priority. They should strive to ensure the highest quality in their course contents, competence in teaching, methodology and fairness in assessing assignments and examinations copies. They are also expected to maintain confidentiality of students records and communications and maintain dignity in the classrooms.

### **2. a. Plagiarism**

Plagiarism is the representation of the words or ideas of another as one's own in any academic work. To avoid plagiarism, every direct quotation must be identified and properly cited in the text or as noted in Cites and Sources. Acknowledgment of source is required when material from another source, stored in print, electronic or other medium, is quoted, paraphrased or summarized in whole or in part. All reviewing authorities have the right to submit a faculty/ staff/student's work for detection of plagiarism or for scrutiny of same and they should be aware that plagiarism of any part of a work is a grave academic misconduct. If proved, there shall be no partial culpability or partial penalty.

## **b. Copy Right Violation**

All Figures, paragraphs, equations, photographs etc. reported by any other author in a publication including research publication or book publication, cannot be reproduced by any The NorthCap University staff or student without prior written permission of the author/publisher as per the copy right rules of the publication. The permission so obtained has to be acknowledged in the publication by the The NorthCap University staff/student, otherwise it amounts to a copy right violation. It is not simply enough to state the reference.

## **c. Intellectual Property (IP)**

Intellectual Property refers to creation of the intellect for which a monopoly is assigned to the designated owners by Law. Intellectual property rights (IPR) the protections granted to the creators of the IP, and include trademarks, copyrights and patents.

## **d. Cheating**

- Copying all or any portion of another's academic work and submitting it, in part or in its entirety, as one's own;
- Allowing another person to copy one's won academic work-whether intentionally or unintentionally;
- The unauthorized use or possession of a class

- textbook, notes or any other material to complete or prepare an academic work;
- The unauthorized collaboration with any other person on an academic exercise, including collaboration on a take-home or make-up academic exercise;
  - The unauthorized use of electronic instruments, such as computers, cell phones, translators or personal response systems (clickers) to access or share information; or
  - The unauthorized completion for another person of an academic work, or permitting someone else to complete an academic work for oneself, including through the use of personal response systems (clickers).

#### **e. Fabrication**

- Fabrication is the use of invented information or the falsification of research or other findings. Fabrication includes, but is not limited to:
- The false citation or acknowledgment of a direct or secondary source, including the incorrect, documentation of a source;
- The citation in a bibliography or other list of references, of sources that were not used to prepare the academic work;
- The inclusion in an academic work of falsified, invented, or fictitious data or information or the

deliberate and knowing concealment or distortion of the true nature, origin or function of such data or information; or

- The unauthorized submission of an academic work prepared totally or in part by another; or
- The submission of fabricated or altered documentation in support of any completion of academic work, an excusal from class, postponement or extension of a due date or a change of grade.

#### **f. False Information**

- Making a false or misleading oral or written statement to any University official or faculty member (including, but not limited to, application for admission, financial aid, residency classification or participation in any special programs sponsored by the University) when the student knew or should have known the statement was false;
- Making a false or misleading oral or written statement at any points of the student conduct process or any other process used to address student behavior;
- Making a false or misleading oral or written statement that misrepresents the character, qualifications or reputation of another;
- Falsely reporting a safety hazard (including but not limited to, a fire, explosive or incendiary device) by any means including by activating an emergency phone on

- campus when no emergency actually exists;
- Falsely reporting a crime or violation of this Code of Conduct or any other University policy;
- Possessing or displaying any form of false identification or any identification not one's own;
- Assuming or attempting to assume the identity of another person; or
- Forgery

**3. Be a good steward of the resources and information entrusted to our care.**

The NorthCap University property is intended for use in support of The NorthCap University mission and legitimate purpose.

The NorthCap University property shall not be used for personal gain or purposes except for incidental personal use of email, telephone to make a local telephone call or incidental Internet use that is not inconsistent with applicable laws and policies. However, members of The NorthCap University should note that such use must not interfere with the performance of official functions or that individual's own job performance. Additionally, members of The NorthCap University should understand that there is no expectation of privacy once any personal material is placed in the public domain.

Members of The NorthCap University are required to maintain the integrity and accuracy of the documents and records for which they are responsible. No employee may destroy any original record or document without a valid authority to do so.

The NorthCap University is the custodian of many types of information, including that which is confidential, proprietary and private. Individuals who have access to such information are expected to be familiar and to comply with applicable laws, policies, directives and agreements pertaining to access, use, protection and disclosure of such information. Computer security and privacy are also subject to laws and The NorthCap University policy.

The NorthCap University employees are required to maintain the integrity and accuracy of all documents and records related to daily attendance, sick leave, vacation/earned leave and all other forms of leave.

**4. (Formerly IITM University Gurugram) Carry out assigned duties and professional responsibilities in such a manner so as to further The NorthCap University mission.**

All members of The NorthCap University are expected to conduct themselves in accordance with the highest standards of professional ethics, public service and

integrity. This requirement encompasses both a responsibility to understand and to further organizational missions and goals. Individuals in positions of greater authority bear a greater responsibility for achieving organizational missions and goals in an effective and efficient manner. However, all members of The NorthCap University should contribute to the success of The NorthCap University in a manner consistent with their duties and responsibilities.

Effective internal controls are one method that can be employed to assist The NorthCap University in achieving its mission. Internal controls are the processes employed at all levels to help ensure that The NorthCap University academic management is carried out in accordance with its policies and procedures, institutional policies and procedures, applicable laws and regulations and sound academic practices. Good internal controls promote efficient operations, accurate financial reporting, safeguarding of assets and responsible fiscal management.

(Formerly IITM University, Gurugram)

**5. Treat fellow employees, students and the public with dignity and respect.**

Members of The NorthCap University are required to maintain a professional work environment. Therefore, any unprofessional conduct may result in disciplinary action.

A romantic or sexual relationship between a member of the The NorthCap University and a student is prohibited especially in those instances where the individual has the responsibility for directly supervising, evaluating, instructing, treating or otherwise overseeing the student. Romantic or sexual relationships between employees & students is prohibited.

**6. Refrain from discriminating against, harassing or threatening others.**

The NorthCap University Statement of Core Values emphasizes the inherent dignity and rights of every person. It is our responsibility to treat each person with fairness, compassion and decency. As such, any form of discrimination or harassment is inconsistent with The NorthCap University core values. Additionally, discrimination on the grounds of race, color, gender, religion, creed, caste, national origin, age, sexual orientation, disability is specifically prohibited.

Sexual harassment of members of The NorthCap University or students in The NorthCap University is prohibited by law and shall subject the offender to dismissal or other sanctions after compliance with due process, other than legal provisions and law of the land. Unwelcome sexual advancements, requests for sexual favors and other verbal or physical conduct of a sexual



nature constitute sexual harassment when: (A) Submission to such conduct is made explicitly or implicitly a term or condition of an individual's employment or academic standing; or (B) Submission to or rejection of such conduct by an individual is used as a basis for employment or academic decisions affecting an individual; or (C) Such conduct unreasonably interferes with an individual's work or academic performance or creates an intimidating, hostile or offensive working or academic environment.

The University System of NCU is committed to the prevention of workplace violence and the maintenance of a respectful working environment. A safe and secure environment is a fundamental prerequisite for fulfilling an institution's mission of teaching, research and public service. The NorthCap University System will not tolerate any type of workplace violence committed by or against students or members of the The NorthCap University. Workplace violence is defined as any threats, threatening conduct or any other acts of aggression or violence in the workplace. Violations of the workplace violence policy will be met with appropriate disciplinary action, up to and including dismissal. The NorthCap University students / employees bear a special responsibility to remain aware of potential acts of violence on campus as evidenced by, but not limited to, unusual statements, writings or any other unusual behavior. Members of The NorthCap

University who, in good faith, report what they believe to be workplace violence or who cooperate in any investigation will not be subjected to retaliation.

**7. Comply with all applicable laws, rules, regulations and professional standards.**

Failure to comply with applicable laws, rules and regulations from time to time by a member of The NorthCap University may result in disciplinary action. Ignorance of the Law(s) will not be condoned. Members of The NorthCap University may be governed by ethical codes or standards of their professions or disciplines. It is expected that those The NorthCap University members will comply with applicable professional standards in addition to laws, rules and regulations.

It is the policy of The NorthCap University to conduct its business in an open and transparent manner consistent with the privacy rights of members of The NorthCap University. The NorthCap University Departments that accept grants from public or private organizations to do research or such other activities, have a fiduciary responsibility to ensure that the grant funds are expended in a manner consistent with the grantor's guidelines and applicable laws, rules and regulations. The submission of false or misleading documentation in connection with a government grant may result in both employment action and criminal prosecution. Members

of The NorthCap University must exercise due care and avoid any personal use of grant funds.

Requests for reimbursement for expenses incurred on behalf of The NorthCap University must be accurate and in accordance with applicable laws and regulations. Submission of false or misleading expense reimbursement documents subjects the member of The NorthCap University submitting the documents to the risk of both termination of employment or contractual relationship and criminal prosecution.

**8. Respect the intellectual property rights of others.**

The NorthCap University employees associated with the production of intellectual property have the responsibility to comply with the instructions on national and international law on intellectual property.®

It shall also be the practice of the The NorthCap University to comply with copyright laws. The NorthCap University employees or any individual using The NorthCap University resources should not violate copyright laws to include publications, recordings and other electronic media. Individuals copying material must take special care steps to ensure that the material is in the public domain or may be copied under the “Fair Use” doctrine. The NorthCap University employees are encouraged to consult the institutional legal counsel for additional guidance in this regard.

**9. Avoid political activities.**

The NorthCap University employees are encouraged to participate as responsible and interested citizens in our democratic society. However, there are political activities that are inconsistent with the roles and responsibilities of The NorthCap University employees. Employees may not participate in a political campaign which interferes with performance of official duties. Employees are restricted from holding state or Centre elective office and must obtain a leave of absence prior to qualifying as a candidate for State or Centre elective office in any municipal/ state or general election. Appointive offices and locally elected offices may be held by a The NorthCap University employee if there is no conflict or interference with the employee's The NorthCap University duties and responsibilities subject to prior consonance of the Governing Body.

**10. Protect human health and safety and the environment in all The NorthCap University operations and activities.**

University System of The NorthCap University is strongly committed to protecting the environment and human health and safety in all of its operations. In working to meet this commitment, The NorthCap University recognizes that pro-active efforts must be made to

ensure that sound environmental, health, and safety planning is integrated into every level of University decision making. Additionally, all members of The NorthCap University bear a responsibility for protecting human health and safety and the environment in those areas for which they are responsible.

**11. Report wrongdoing to the proper authorities; refrain from retaliating against those who do report violations; and cooperate fully with authorized investigations.**

All members of The NorthCap University have a responsibility to follow University policies and procedures, adhere to applicable laws and regulations and speak up when they see or suspect misconduct. Members of The NorthCap University with concerns about possible unethical behavior or noncompliance with The NorthCap University policy are encouraged to speak to their HODs/ DOSs/ Functional Heads. Retaliation against a member of The NorthCap University for reporting wrongdoing is strictly prohibited.

Members of The NorthCap University are required to cooperate fully with authorized internal investigations. Failure to cooperate may subject the individual to disciplinary action to include termination of employment or contractual relationship.

**12. Disclose and avoid improper conflicts of interest.**

The NorthCap University employees are expected to devote their primary efforts to The NorthCap University's mission. Outside activities must not interfere with performance of official duties. Additionally, outside activities may create conflicts of interest or of commitment that must be properly disclosed and managed. Other members of The NorthCap University who are not The NorthCap University employees are subject to other conflict of interest provisions as contained in various laws, rules and regulations from time to time.

**13. Refrain from accepting any gift or thing of value in those instances prohibited by The NorthCap University.**

No member of the The NorthCap University shall directly or indirectly solicit, receive, accept or agree to receive a thing of value by inducing the reasonable belief that the giving of the thing will influence his/her performance or failure to perform any official action. The acceptance of a benefit, reward or consideration where the purpose of the gift is to influence a member of The NorthCap University in the performance of his/her official functions is strictly prohibited.

**14. Not use your position or authority improperly to advance the interests of a friend or relative.**

No member of The NorthCap University will use his or her position or authority improperly to advance the interests of a friend or relative. Any benefit granted to an individual will be based on merit and/or written procedure. No individual shall be employed in a department or unit, which will result in the existence of a subordinate-superior relationship between such individual and any relative of such individual through any line of authority.

**15. Confidentiality**

Several aspects of academia require maintaining strict confidentiality in matters related to minutes of certain meetings as also matter related to promotion pay and discipline. Being personal and individual matters, these matters should not be discussed publicly. It is particularly important for the University that faculty/staff about whom positive and negative comments are made in meetings by specific members, unauthorized e-mail circulation of confidential minutes or other privileged communications within or outside the university, amounts to serious breach of academic and staff ethics. For this purpose, it is best to consider all official e-mails and communication to be confidential unless it has been expressly clarified to the contrary.

## ZERO TOLERANCE

Zero Tolerance to academic and administrative responsibilities are emphasized again as under:

- Zero Tolerance in non-fulfillment of job deliverables, all academic and administrative responsibilities specific to your department or University.
- Zero Tolerance on delays in engaging lectures, tutorials and lab / practical classes as per schedules. Any contingency must be planned for in terms of alternatives without any uncertainty.
- Zero Tolerance for deviation in deliverables like attendance, question paper setting, evaluating answer books, result preparation and submission, project reports, committee reports, audit related reports etc.
- Zero Tolerance for deviation in academic duties such as invigilation, attending academic meetings at department or University level or elsewhere, indifference in attending students' functions, events, conferences, sports and cultural events.
- Zero Tolerance in any act of plagiarism which degrades the standards of our academic and research writings/ publications.



## ETHICAL PRACTICES FOR STUDENTS

### Preamble

The attributes of honesty and trust are the fundamentals for the students of The NorthCap University. Academic dishonesty or any other forms of academic misconduct eat away at the very foundation of an institution specially the one purely dedicated to the pursuit of knowledge and excellence. To maintain the credibility and reputation, The NorthCap University has committed itself to maintaining an atmosphere that upholds its core values to the highest standards of academic integrity. To this end an ethics policy for students to strongly discourage plagiarism especially in research publication work and a UMC to control unfair means in Minor and Major tests are in place. This has been designed with the objective of curbing copying / academic dishonesty by students in these areas.

## Definitions

The meaning of academic dishonesty and cheating/copying and what all it includes, but is not limited to, the following.

- Intentionally presenting Inaccurate Information and data
- Changing or forging the results obtained, data collected, or conclusions for any assignment.
- Making up information which is not true and passed off as authentic for any assignment.
- Forging University Staffs signatures or information on any document.

## Plagiarism

Presenting someone else's work as one's own

- Copying or presenting any material word to word from any source and not citing the same.
- Simply rewording someone else's idea without providing the proper citation of the same
- (Submitting a student's own work multiple times at multiple places without instructors permission.

## Copying/Cheating

Cheating in exams tests, assignments etc.

- Submitting another person's work as one's own.

- Collaborating on any assignment that is supposed to be done individually.
- Using any unauthorized material or resource during an exam.
- Stealing, or having in possession without permission, any exams, any study materials,
- Helping other students in cheating.
- Doing another student's assignment,
- Giving a student answers to exam questions or to other assignments.
- Taking an exam for a student.

## **Penalties**

The students shall be made aware of the consequences for any violations of this policy which may include, depending upon the severity, but not limited to the following

- In case found copying/ submitting copied work/ facilitating copying. The teacher shall award zero marks for the assigned work without any further reference.

Repeated cases of copying / more serious cases of academic dishonesty may be referred to the UMC by the teacher immediately and depending upon the case may be given as under:

- A failing grade for the entire course.
- Failing grade for the course and a permanent notation of academic misconduct on the student's grade sheet.
- Other appropriate consequence as may be decided by the UMC.

### **Zero Tolerance towards Copying**

All students of the University are expected to uphold the spirit and not indulge in any acts which may be in violation of this policy. The faculty has an important role in enforcing this policy without fear or favor and strengthen culture of “Zero Tolerance towards Copying”. The policy shall be well publicized by putting it on notice boards, websites, student diary and any other appropriate methods. ®

### **Ethical Practices in conduct of Major test & Practical test**

1. Maintaining discipline and sanctity of examination (written/practical/workshop) is of paramount importance. Any misdemeanour on the part of the candidate is likely to debar him/her from appearing in the examination.
2. Candidate should take their seats at least 15 minutes before start of the examination (written / practical / Project / workshop).

3. Candidates found reading books, exchanging notes and intentionally delaying in entering the examination hall up to 10 min prior to the start of the examination, thereby causing disturbance to other candidates and the examiner will be penalized by deducting up to 3 percent from their total marks in the same paper.
4. The candidates should check their seats, and if they find any paper/ any other incriminating material nearby, or anything written on their desk, they should immediately bring it to the notice of the invigilating staff.
5. Candidates on receipt of the answer book will check the correctness of the number of pages as given on the top including any damaged answer sheets and then proceed to fill up all particulars before answering the question.
6. Before writing on the answer book the candidates should see that they have been supplied with the correct question paper as per the date sheet.
7. Candidates will not write their names in the answer book. Candidates will only write their Roll numbers in the answer book and in the question paper as well.
8. Mobile phones, written material, I-pad, pager, pen

drive or any other electronic /blue- tooth device etc. are not allowed inside the examination hall. Possession of above/mobile phone or other electronic devices by the candidate will be treated as Unfair Means case for all examinations (written/practical/workshop).

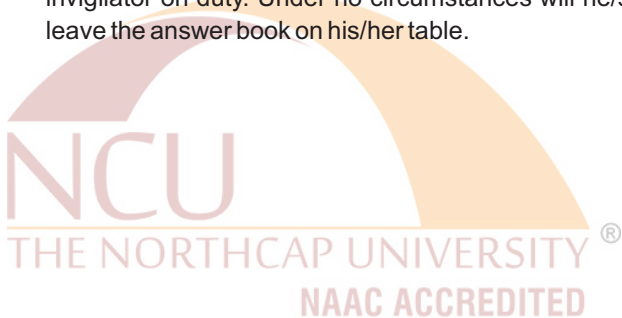
9. Candidates will only use blue/black ink for writing the exam. Use of any other ink will invite UMC.
10. A candidate is permitted to enter the examination hall if he is late up to 15 min from scheduled time of commencement of exam. Candidate reporting later than 15 min. would be recorded as per exact time of late reporting and barred from entering the exam hall. This provision is not applicable for Minor Test. It is in the interest of the student to be in time for the Test and no excuse what so ever of cab/bus/train late or traffic congestion will be entertained.
11. Candidates will carry the Identity Card and Admit Card in person and show to the Invigilator on demand.
12. Exchange of items such as pen, calculator, scale, pencil, eraser etc. with other candidates is not allowed. Violation of this will be treated as UMC.
13. Any candidate found cheating with the help of or in possession of written matter on a chit, exam desk, nearby wall, calculator, matter written any part of the

body, discussing during use of wash room or in possession of electronic device of any kind and will invite UMC during the examination (written/ practical/ Project/workshop). Student would be given a hearing by the University UMC committee to present his/her defence, if any before handing out award of punishment ranging from percentage deduction in marks obtained in the paper / cancellation of paper/all papers/debarred from exams/debarred for semester/expulsion from University or FIR being registered with Civil Police.

14. In addition to informing the parents, repeat of any offence above shall debar the candidate from appearing in the examination.
15. No candidate will be allowed to leave the examination hall before half the time is over. For example if the duration of the examination is of three hours, no candidate will be permitted to leave the examination hall before completion of one and half hour into the examination.
16. Candidates will normally be permitted to go to the washroom only once during the entire examination of 3 hours for duration not exceeding five minutes.

However the candidate will not be permitted before half time and during last 30 min of the exam. Use of washroom is not permitted during Minor Test of 60 min duration.

17. On completion of the examination, candidates must personally hand over his/her answer book to the invigilator on duty. Under no circumstances will he/she leave the answer book on his/her table.



(Formerly ITM University, Gurugram)





## QUALITY POLICY

To impart learning of the highest standards, in the disciplines we have chosen through a blend of theory, practice and performance. We endeavour to seek excellence in our academic activities and in all the services we provide to improve the quality of life of our students and the community we serve.

THE NORTHCAP UNIVERSITY<sup>®</sup>  
NAAC ACCREDITED

**Gurugram**

Date: 31 Aug 2015

**Brig. S K Sharma (Retd.)**  
Pro Vice-Chancellor



(Formerly ITM University, Gurugram)

## CORE VALUES

1. Integrity in all endeavours.
2. Humility, compassion and concern for all.
3. Passion for quality and excellence.
4. Quest for innovation.
5. Leadership and Team Spirit.
6. Autonomy with Accountability.
7. Perseverance.



# ethics policy



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